DOCUMENT RESUME

ED 168 370 HE 009 694

AUTHOR Adler, Dan L.
TITLE Governance and Collective Bargaining in Four-Year Institutions, 1970-1977. ACBIS Monograph No. 3.
INSTITUTION Academic Collective Bargaining Information Service, Washington, D.C.
SPONS AGENCY Ford Foundation, New York, N.Y.
PUB DATE 11 Sep 77
NOTE 52p.
AVAILABLE FROM Academic Collective Bargaining Information Service, 1818 R St., N.W., Washington, DC 20009

EDRS PRICE MF01/PC03 Plus Postage.
DESCRIPTORS *Collective Bargaining; *College Administration; *College Faculty; Decision Making; Faculty Promotion; Faculty Workload; *Governance; Higher Education; *Teacher Administrator Relationship; *Teacher Participation; Teacher Role; Teacher Salaries; Tenure

ABSTRACT

A followup survey was conducted in 1977 to determine faculty participation in institutional decision-making. The first survey was conducted in 1970 of about 1,000 colleges and universities. The resurvey design, administration, and scoring are described. In addition to the requested responses to 31 questions comprising the survey, requests were addressed to the institutions for information related to the decision to hold an election. Graphs are presented comparing control group institutions, collective bargaining groups, and no agent groups for 1970 and 1977 on the following practices: appointments; reappointments, non-renewals; promotions; tenure; faculty salary scales; individual salaries; curriculum; degree requirements; types of degrees; new educational programs; admissions; teaching assignments; department committee membership; academic discipline (students); selection of academic deans; selection of department chairperson; teaching load determination; and short term budget planning. It is concluded that all of the institutional groups under study have been successfully motivated to improve their governance roles, and that collective bargaining has failed to establish itself as a particularly effective medium for doing so. Intra-institutional changes over the period 1970-77 have followed a progressive course toward fuller faculty participation and responsibility in decision-making on matters that are essential components of academic life. A sample questionnaire and instructions and statistical data of results are appended. (SW)

****
* Reproductions supplied by EDRS are the best that can be made *
* from the original document. *
****

ED168370

Governance And Collective Bargaining In Four-Year Institutions 1970-1977

by

Dan L. Adler

"PERMISSION TO REPRODUCE THIS MATERIAL HAS BEEN GRANTED BY

Dan Adler

TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC) AND USERS OF THE ERIC SYSTEM."

U S DEPARTMENT OF HEALTH, EDUCATION & WELFARE
NATIONAL INSTITUTE OF EDUCATION

THIS DOCUMENT HAS BEEN REPRODUCED EXACTLY AS RECEIVED FROM THE PERSON OR ORGANIZATION ORIGINATING IT. POINTS OF VIEW OR OPINIONS STATED DO NOT NECESSARILY REPRESENT OFFICIAL NATIONAL INSTITUTE OF EDUCATION POSITION OR POLICY

ACBIS – Monograph # 3

HE 009 694

Acknowledgements

The author wishes to express his appreciation to the associations, institutions and individuals who in various ways contributed to the study here reported. First among these is the Ford Foundation, whose generous grant made the study possible. We acknowledge gratefully too, the assistance of the Academic Collective Bargaining Information Service which agreed to sponsor the research effort, and the American Association of Colleges which agreed to serve as fiscal agent for the project. We are especially grateful to the American Association of University Professors which granted access, on a confidential basis, to the raw data of its 1969-70 study essential to the study reported here.

We wish to acknowledge particularly the efforts of the members of an Advisory Committee which served initially to review the survey design and subsequently to review, comment upon and helpfully "critique" the final report with respect to its "neutrality." In making this acknowledgement, the author nonetheless accepts full responsibility for this final report. Members of the Committee were: James P. Begin, Director, Graduate Program in Industrial Relations, Rutgers University; Professor David Leslie, Center for Higher Education, University of Virginia; and Kenneth P. Mortimer, Director, Center for the Study of Higher Education, Pennsylvania State College.

We wish to thank too, Ms. Luisa Lopez, who served as Research Assistant on the project, diligently, critically, and creatively; Professor Otway Pardee, for his painstaking work in preparing and supervising the computer data processing; Ms. Marie Smith, for her aid in meeting the demanding needs of typing, the preparation of tables, and the surveillance of survey mailings and responses.

Finally, we wish to thank the administrative officers and faculty representatives participating in the survey for their time-consuming efforts in resonding to the complex demands made upon them in the course of the inquiry.

Dan Adler
September 11, 1977

Governance And Collective Bargaining In Four-Year Institutions 1970-1977

by

Dan L. Adler

ACBIS – Monograph # 3

All statements made and views expressed in this monograph are solely the responsibility of the author.

In 1970, the American Association of University Professors surveyed almost 1,000 colleges and universities to determine, on a comparative basis, the nature and extent of faculty participation in institutional decision-making. Significant changes in the funding of higher education, the instability of the academic marketplace, and the advent of academic collective bargaining prompted the resurvey of faculty participation undertaken in the spring of 1977 and reported here.

I. Introduction

There was a time when collective bargaining was an unloved and undesirable stranger in the academic house. While deemed acceptable for the industrial world, where its effectiveness was often admired (although at a distance), it had few adherents and even fewer potential adoptive parents among academics. In those years, perhaps the most compelling perception – held alike by faculty members, academic administrators, and even the lay public – was the incongruity of lifestyles which placed the means and goals of academic community members in sharp contrast with those of "unionized labor." In academic circles generally, the stigma of "unprofessionalism" was firmly associated with any serious consideration of unionism. Admonitions to collective bargaining advocates centered upon such key issues as the impropriety of strikes, the inevitable loss of collegiality, and the weakening of professional effectiveness through the growth of adversarial relationships between faculty and administration.

Yet subsequent events suggest that despite this negation, powerful positive forces, or even more powerful (albeit different) negative ones have overcome the once definitive objections to academic unionization. On four-year campuses alone, some 200 collective bargaining elections have been held between 1970 and 1977; three out of four of them have resulted in the election of a collective bargaining agent.*

The relevant literature of this brief seven-year period, although necessarily speculative and characteristically limited to small sample studies, suggests a wide range of forces serving as the precursors of collective bargaining in academe. So varied is this array, however, that one might be led to believe that each academic collective bargaining election was prompted by a constellation of events unique to the institution involved. While this may be true in a proximal sense, efforts to unravel the anatomy of academic collective bargaining in this frame of reference alone tends to be reduced to a bare bones frequency distribution of reported underlying factors. Taken together with the limited availability of pre- and post-election information, such an approach discourages more viable analyses which might, for example, trace the dynamics governing the initial predisposing shift in faculty attitudes to a culminating collective bargaining election.

Contemporary articles devoted to an explication of academic unionism frequently appear, too, to have confounded probable motivating factors in the decision to unionize with factors which are essentially facilitating rather than motivating. Thus, Kemerer and Baldridge† include "permissive government" (i.e. enabling legislation) and the "presence of experienced bargaining groups" in their ten-item check list of "causes of faculty unionization." While the *enhancing* role of these factors is not improbable, their "causal" role is. Other check list items, however, seem properly to identify such potential motivators as the "desire for higher wages and benefits," "desire for more influence on campus governance," a "fear of teacher surplus" *et al.* Begin, Settle, and Alexander,‡ in synthesizing the existing literature, cite among the factors thought to be useful "in explaining the incidence and pattern of the faculty bargaining movement," the following: union competition, public support of higher education, institutional quality, legislation, and organizational change. Here too, the citations reflect a mixture of directly motivating elements and elements that appear to be either derivative or ancillary.

Process analyses might have been helpful in determining the specific dynamics which (in given institutions at a specific time in their history) fused critical motivating factors and a favoring milieu into a course of action hitherto taboo. In the absence of such dynamically oriented reports or case studies, we are led to reexamine the proffered range of motivating factors with a view to finding identifiable common threads among them. An almost ready-made dichotomy comes to mind as one reviews the available information. Simplistic as this approach may seem, the motivating factors appear to be readily divisible into two major categories, particularly within four-year institutions – those dealing with economic issues, and those dealing with the protection of what are perceived as personal-professional rights. While the former needs little elaboration, dealing as it does with economic objectives ranging from salaries and fringe benefits to job protection, the latter requires more extensive consideration.

---

*See references 1, 13.

†See reference 18.

‡See reference 7.

Pre-bargaining attitudes of the professoriate, as already noted, emphasized its "professionalism" – a probable euphemism for a syndrome of values held and prerogatives assumed. Psychologically viewed, a faculty member entered professional academic life by appointment to a teaching or research position with a level of academic competence acknowledged by colleagues. By virtue of the appointment the faculty member also carried a reasonable expectation of upward mobility in rank and a concomitant acquisition of increasing influence in both his/her professional field, and in relationships with colleagues and administrators institution-wide. For new faculty members, and for those who had already achieved some level of status and influence, it was – and remains – essential to preserve these prerogatives. The primary opportunity for doing so is undoubtedly reflected in the so-called governance aspects of institutional life. The ability of faculty members, either themselves or through peer committees, to direct and assure their individual destinies has, of course, always been something of a struggle. Viewed (sometimes correctly and sometimes not) as a grab for power or a move to pre-empt administrative authority, the probable roots of faculty efforts to participate in college and university governance have been essentially self-preservative.

Although faculty members had not uniformly succeeded in achieving the fulfillment or protection of personal-professional objectives, the general direction of events in four-year institutions – at least up to the mid-1960's – was promising. Inter-institutional mobility, reasonable salary and promotion prospects, and the development of formal faculty participatory bodies such as academic senates, held hints of progress in both economic and governance areas. Soon thereafter, however, the tide of events turned rather abruptly, and succeeding years brought with them first the threats, and then the realization of state-wide educational reorganizations, decreasing enrollments, program contractions, diminutions of financial support at state and local levels, and the economic sanctions of inflation and recession. Concurrently, faculty members experienced a new and at times more personal helplessness and frustration as their advancement prospects and their job security waned. To whatever extent they had had formal influence within their institutions and educational systems, they were now at the apparent mercy of events beyond their immediate reach. Perhaps even more traumatic was the realization that while they could not reach out readily to alter external forces, these forces could apparently "reach in" to diminish or eradicate their identities as experts and innovators, their collegial interdependence, and even their prerogatives to establish professional standards.

It is in the context of this relatively recent history, we believe, that economic and personal-professional security emerged as compelling motivational factors which sought expression in academic collective bargaining much as they had done before – with exemplary success – in the industrial world.

Whether or not the development of academic bargaining fully followed the model suggested here, it is clear from an examination of bargaining contracts that salary issues have been given primacy, and, the most consistently used indices of successful bargaining have been the percent salary increments provided by bargaining agreements. Following closely in importance, even where enabling legislation has set "wages and working conditions" as limitations on bargainable issues, some aspects of personal-professional security have been incorporated into contracts in the form of grievance and arbitration procedures, union representation of faculty interests, *et al.*

If the unionization of faculty members had materially and consistently effected the gains sought – if it had re-secured the wavering anchor posts of economic stability and personal-professional involvement and influence – one could predict with assurance its tidal wave acceptance, subject only to the damping effects of the slow pace of enabling legislation. In fact, however, the difficulty of systematically monitoring these gains has left unanswered important questions regarding the effectiveness of collective bargaining in four-year institutions. Serious questions for example, have been raised regarding the actual relationship between collective bargaining and compensation levels. Although the studies of Morgan and Kearney* and Birnbaum (Winter 1974)† appear to demonstrate a strong positive relationship between faculty unionization and compensation, Brown and Stone‡ argue the insufficiency of this demonstration based upon an alleged failure adequately to control critical sampling variables. In a subsequent publication, based on salary base lines, growth rates, comparisons among academic ranks and promotion rates, Brown and Stone** have concluded:

> *"In general, there appear to be no significant impacts on salary, compensation and promotions associated with the adoption of collective bargaining by college and university faculty."*

Birnbaum†† has reported a narrowing of his earlier reported salary differences between unionized and non-unionized faculties. Although reduced, differentials do remain which favor unionized faculties, but the rate of change of incremental differences is reported as 0.1 percent between 1972-73 and 1974-75.

If the economic advantages of academic unionization are even minimally uncertain, it becomes increasingly important to determine whether unionization has realized

---

*See reference 21.

†See reference 8.

‡See reference 11.

**See reference 12.

††See reference 9.

its objectives in the area of institutional governance which is presumed to reflect the personal-professional impetus discussed earlier. Unhappily, unlike salary studies where statistical comparisons over time are at least feasible, there has been a paucity of substantive pre- and post-bargaining information relative to governance sufficient to establish or support even tentative judgments regarding effective change under unionization.*

White, in making this observation notes the consequent heavy reliance on anecdotal and speculative material, and on a limited number of single-institution or single-system surveys.† The lack of substantive information has permitted an alternative emphasis on projections from minimal clues and on trend estimates, relieved only by a sprinkling of wider scale research efforts of cross-sectional rather than longitudinal design.‡ The inability to compare directly pre-bargaining faculty participation in institutional governance with a post-bargaining status, has resulted in uncertainty regarding the effects of collective bargaining, and has led to a welter of conflicting conjectures and projections concerning them. It has, for example, become commonplace to predict the waning power of academic senates at institutions operating under collective bargaining agreements. Similarly anticipated, have been such phenomena as increases in adversarial faculty-administrative relationships, decreases in administrators' perceived power, overall "changes" in faculty harmony and collegiality, and a decline in campus autonomy for institutions under state- or system-wide control. Such projections have relied heavily upon the recall ability of respondents surveyed through interview techniques, and on the face validity of provisions written into collective bargaining contracts. As already suggested, however, only longitudinal comparisons which permit each institution to become its own comparative control, offer the hope of distinguishing between conjecture and reality.

* * *

In 1970 the American Association of University Professors (more specifically its Committee on College and University Government) undertook a survey of faculty participation in institutional governance**, using as its data base all colleges and universities at which a chapter of the parent organization existed. An instrument was designed to provide an institutional self-survey of the kinds and degrees of faculty participation in some 31 parameters of academic operations, which were believed to reflect areas of faculty-administrative decision-making common to institutions of higher education.

Basically, the instrument provided an opportunity for respondent faculty members and administrators jointly to determine for each parameter involved, the relative role of faculty members on a five point participation scale:

1. Faculty *determination*
2. Faculty-administration *joint action*
3. Faculty-administration *consultation*
4. Faculty-administration *discussion* (restricted to informal expression of faculty opinion, or formally expressed opinions by administratively selected committees)
5. No faculty participation

In actual use, the response sought was the proportion (for each of the 31 items) of specific relevant actions which were assignable to each of the respective categories of faculty participation. Thus, with regard to decision-making relative to faculty appointments, an institutional response might allocate faculty involvement as follows:

Determination	Joint Action	Consultation	Discussion	None	
0%	20%	20%	60%	0%	= 100%

Although the Association's published report†† provided only a graphic distribution of responses from each of 970 institutions returning a usable reply, the Association agreed to make available on a confidential basis the computerized raw data from which the graphics had been prepared. This fortuitous offer appeared to provide the opportunity of readministering the original instrument at relevant institutions, thus hopefully achieving the highly desirable "before and after" comparison of governance practices on unionized campuses.

Pursuant to this possibility the list of participants in the 1970 AAUP survey was searched for four-year institutions which had engaged in a collective bargaining election prior to April, 1977.‡‡ A match of 137 institutions was found.

The availability and distribution of the 137 institutions (see Table 1, p. 9) suggested the feasibility of their constituting a study population, and prompted the development of the research program which is reported in the sections which follow.

---

*See reference 23.

†See references 6, 10, 14, 15, 16, 17, 18.

‡See references 3, 4, 18, 19, 20.

**See reference 2.

††See reference 23.

‡‡See references 1, 2, 1

II. Resurvey Design, Administration and Scoring

The design for the resurvey of selected institutions is a simple one, requiring the fulfillment of the criteria which follow:

1. That the restudy be limited to four-year campuses. A number of considerations prompted the decision not to include two-year institutions, the primary one being the insufficient representation of unionized junior and community colleges in the 1970 survey. In any event, the generally reported differences between them and four-year institutions in academic governance practices and expectations, and in professional orientation* taken together with their large representation among unionized institutions, would have constituted a potential distortion in the pooled comparative data.

2. That the institutions included in the primary restudy group be those which qualified both by having held a bargaining election prior to April 1, 1977, and having participated in the 1970 AAUP survey (hereafter, the *Elections Group*).

3. That a "control" group of campuses participant in the 1970 study, but not having held a bargaining election, be constituted as a stratified sample replicating the Elections Group as closely as possible with respect to the *type of control* (private, public, etc.), *type of institution* (university, liberal arts college, etc.), *number of faculty, geographic region,* (Northwest, Middle Atlantic, etc.), and *index number* i.e., average weighted 1970 response (hereafter, the *Control Group*).

Although the burden of conclusions drawn from the data will be dependent essentially upon pre-and post-comparisons within the same institutions, the Control Group should serve to monitor changes which may have occurred over time in the absence of bargaining elections.

4. That the resurvey instrument utilize at a minimum, the format, glossary, instructions, and content coverage of the 1970 AAUP questionnaire.

The Survey Instrument

Some changes were made in adapting the original survey instrument for resurvey purposes (see Appendix I). The initial paragraphs of the 1970 survey instrument which identified it with AAUP sponsorship were removed, and a change was made in the "dateline" of events to be reported. The time frame for responses was amended to cover practices of "the last 3 years, or since a major change in practice after 1970."

Appended to the questionnaires forwarded to the Election Group was an additional page which called for a re-examination of the survey items for the purpose of identifying those which had prompted the bargaining elections, ensuing bargaining contract clauses (if any), or both (see Appendix I, p. 42). For campuses which had signed collective bargaining contracts, provision was made for indicating with whom (i.e., local Administrators, Governing Boards, or State Agencies) the contract was negotiated. Although the recipients of this survey form had, like all others, been asked to supply joint faculty-administration responses, they were also asked to respond separately to questions which sought their respective perception of post-contract changes in the following areas: faculty-administration conflict, collegial relationships, formalization of faculty-administration interaction, Academic Senate influence, and shifts in "power" (Appendix I, p. 43).

Selection of Respondents

Elections Group. The distribution of the 137 eligible institutions by elected collective bargaining agent (or no agent) appears in Table 1. The evenly divided representation of available and responding bargaining agents, or at least the principal ones, appeared to justify their initial consideration as a single group, recognizing, however, the necessary distinction to be made between those which had elected an agent (hereafter. the *Collective Bargaining Group*), and those which had voted not to do so (hereafter, the *No Agent Group*). See Table 2, p. 9.

The Control Group. A control group of 276 campuses was computer-selected from among participants in the 1970 survey which had not conducted a bargaining election. The selection was stratified analogously to the Elections Group on the five variables earlier mentioned.

Administration of Questionnaire

Questionnaires were mailed with covering letters and return envelopes to the chief administrative officer and to the bargaining agent representative of each campus in the Collective Bargaining Group. Similar, but adapted letters were sent to No Agent campuses, but in the absence

Table 1

Potential and Actual Respondents, 1977 Resurvey Bargaining and Control Groups

	Group	Campuses in 1970 Survey (N)	Respondents 1977 Survey (N)	Respondents 1977 Survey (%)
Elections Group	AAUP	27	10	37%
	AFT	34	16	47%
	NEA	32	10	31%
	Independent	7	3	43%
	No Agent Group	37	18	49%
	Totals	137	57	42%
	Control Group	276	135	49%

of an elected bargaining agent, they were addressed to an AAUP chapter officer or to the chairperson of the Academic Senate (or equivalent body). The Control Group was addressed in a like manner. The content of the letters was designed to encourage, but not to require, joint returns by faculty and administration, and to assure the respondents that their responses would be kept confidential and unidentifiable.

Responses to Questionnaire

Table 1 reflects the increasing attenuation of survey returns which, in this instance, averaged 46% of all addresses, despite post-card reminders and telephone contacts with non-respondents. Prominent among the reasons given for not responding were the "swamping" effect of required government forms, and the increased survey exposure of the relatively small population of institutions involved in collective bargaining. Most "rejecting" institutions expressed regret for the lack of time and personnel which governed their decision. The limited number of respondents in the No Agent and Collective Bargaining Groups might have given some cause for concern in terms of sampling adequacy were it not for the fact that reports from campuses within these groups were to be compared with their own previous reports, both as individual institutions and as pooled data sources.

The stratification of the 1977 Control Group sample, intended to parallel the 1970 survey population, proved to be essentially undistorted in the reduced respondent sample. In fact, the distribution of selection variables (institutional type, control type, geographical region, and faculty size) varies no more than 6% from the proposed stratification in *any* of the three study groups. (See Appendix II for the numerical distribution of responding institutions by selection variable.)

Responses prepared jointly by faculty members and administrators occurred about as often in the current study as they did in the 1970 study – approximately 60% of the total returns. It should be noted, however, that joint returns in the Collective Bargaining Group were noticeably fewer – 44%.

Response Indices

The comparisons of data from the 1977 survey with those obtained in 1970 are based mainly on two types of indices:

Percent-Response Distributions. As described earlier (p. 7) institutions reported, for each of 31 items, the percent of responses which fell within each of five categories of faculty participation in decision-making, (Determination, Joint Action, etc.). It is possible to represent in a similar manner, the pooled distribution of responses for all of the items derived from an individual institution, or distributions in a group of institutions. Each of these distributions readily provides for a determination of the median level of response e.g. for each item, combination of items, total institutional responses, etc.

Index Numbers. The 1970 study made use, too, of a weighted index number which was at the same time more convenient and less refined. In the words of the 1970 survey report:*

> *"An even weighting was used which, for each question, assigns DETERMINATION a relative weight of 5, JOINT ACTION a relative weight of 4, CONSULTATION a relative weight of 3, DISTRIBUTION a relative weight of 2 and NONE a relative weight of 1. The replies were scaled so that the maximum possible replies (100% DETER-*

MINATION responses to all questions) would have an index number of 500, and the minimum response index (all replies NONE) would be 100."

When responses were supplied independently (rather than jointly) by faculty representatives and administrators, and individual item responses differed, their average was used in the calculation of index numbers and percent-response distributions.

Population Comparability

In order to roughly assess the *initial* similarity or dissimilarity of the three groups reported in the current study (No Agent, Collective Bargaining, and Control), the average index numbers reflecting their 1970 responses are collated in Table 2. It is evident from this array that the index number averages of the reporting groups do not differ markedly from one another, or from the average of all 1970 responses; neither do they appear to differ significantly from the index averages of their respective sampling counterparts which did *not* respond to the questionnaire.

Table 2

Average Index Numbers on 1970 Survey for 1977 Respondents, Non-Respondents

	Average Index Numbers (1970)	
	1977 Survey Respondents	1977 Survey Non-Respondents
Control Group, 1970 Survey (N = 135)	291	290
No Agent Group, 1970 Survey (N = 18)	294	321
Collective Bargaining Group, 1970 Survey (N = 39)	300	306
All Institutions, 1970 Survey (N = 970)	293	

III. Comparison of 1970-1977 Governance Indices

We turn directly now to the examination of changes in faculty governance roles which may have taken place between 1970 and 1977 as reflected in the scoring indices of the survey instrument used at the beginning and the end of this seven year interval.

Index Number Data

Using for our initial comparison the average index number for each group in 1970 and its counterpart in 1977, there is suggestive evidence of a slight, but generalized trend toward increasing faculty participatory roles in governance over this time period. In the Control group, the average index score increased 23 points (from 291 to 314); in the No Agent Group the increase was 29 points (294 to 323); and in the Collective Bargaining Group the increase was 16 points (from 300 to 316).

Evidence of the pervasiveness of these apparent changes was sought by examining the frequency of occurrence of upward or downward shifts of index scores. Such shifts were tabulated for each group using three different standards: the number of institutions reporting higher or lower 1977 scores relative to their own 1970 evaluation, the number in institutions displaying index scores 25 or more "points" higher or lower than 1970, and the number of institutions reporting 1977 index scores 50 or more points above or below their respective 1970 scores (see Table 3).

Bearing in mind that the *average* index scores of 1970 were all close to 300 – the Consultation level of involvement – a change of 25 or 50 score units – would represent a movement of one-quarter or one-half a category in either direction. Inspection of Table 3 makes clear an unanticipated "upward mobility" in all groups, including the Control Group. About two-thirds of the institutions reported some degree of improvement in faculty participation roles; about half of them show a 25 point improvement, and about one in three is displaced upward a half category, i.e., toward involvement in the form of Joint Action.

There are, however, good-sized residuals, and in a significant number of institutions this order of change is reversed. About one-third of each group shows a decrease of faculty participation over the period 1970-1977, an incidence which tapers off rapidly in counting 25 and 50 point decrements in the Control and No Agent Groups. In the Collective Bargaining Group, however, more than one-fourth of these institutions report a quarter-column decrement and one-fifth of them, a half-column decrement toward lessened participation.

Since these data indicate gross changes without reference to a base line, Table 4 is provided to show the number and percent of index score increases from arbitrarily selected base lines of 300 (Consultation) and 350 (i.e., between Consultation and Joint Action).

With reference to the base of 300, the data indicate rough similarities among the groups in the number of index scores over 300 in 1970, and in their increases by 1977. The incidence of 350 or higher scores, also roughly equivalent from group to group in 1970, show fairly sharp increases in the Control and No Agent Groups by 1977, although the phenomenon is not evident in Collective Bargaining Group responses. In more operational terms, about 50% of the institutions making up the study groups were, in 1970, at the Consultation level of operation and by 1977 there was a consistent increase among them in the percent of institutions so operating. The number of institutions which, in 1970, were operating closer to the Joint Discussion level, showed a marked increase by 1977 among Control and No Agent institutions, a change not reflected among institutions in the Collective Bargaining Group.

The foregoing analyses based on the cruder measure of index numbers, nonetheless suggest some phenomena of significance. They point first to the probability that faculty members have made palpable gains in decision participation over time without respect to collective bargaining activity. In addition, the data suggest that such gains are neither farther reaching or more frequently occurring among institutions where a collective bargaining agent has been elected.

Index scores as used here, while helpful in detecting the incidence of institutional change, tend to blur important features of change because by definition they involve averaging techniques. This shortcoming prompts us to turn to the more finely tuned percent-response distributions which provide more detailed comparative information.

Percent-response data

The distributions of average responses in Table 5 complement the earlier observation that increasing numbers

Table 3

Index Score Changes, 1970-1977

	Control Group (N = 135)	No Agent Group (N = 18)	Collective Bargaining Group (N = 39)
Total Increases			
N	89	11	24
%	66%	61%	62%
Increase 25 points or more			
N	63	10	16
%	47%	56%	41%
Increase 50 points or more			
N	42	5	13
%	31%	28%	33%
Total Decreases			
N	46	6	15
%	34%	33%	38%
Decrease 25 points or more			
N	26	3	11
%	19%	17%	28%
Decrease 50 points or more			
N	14	2	8
%	10%	11%	21%

Table 4

Number and Percent of Index Scores Exceeding 300, 350 Points

	Index Score 300 or More		Index Score 350 or More	
Control Group (N = 135)	N	%	N	%
1970	62	46%	20	15%
1977	82	51%	35	26%
No Agent Group (N = 18)				
1970	10	56%	3	17%
1977	12	67%	8	44%
Collective Bargaining Group (N = 39)				
1970	20	51%	7	18%
1977	25	64%	7	18%

Table 5

Comparison of Response Distributions 1970-1977 (Average of all institutions, in percent)

	Determination	Joint Action	Consultation	Discussion	None
All responses, 1970	15.2	24.5	21.0	17.7	21.6
Control Group responses, 1977	15.1	27.3	28.6	14.5	14.4
No Agent Group responses, 1977	15.8	31.2	27.0	12.2	13.8
Collective Bargaining Group responses, 1977	14.4	30.7	25.3	13.0	15.6

of institutions have moved in the directon of fuller faculty participation in decision-making.

Each of the study groups displays a decrease in the *minimal* levels of participation (Discussion and None) and an increase in participation by Consultation and Joint Action. The nature of these changes is also consistent with the earlier noted impression that the phenomenon is not clearly attributable to collective bargaining activity since, in both direction and extent, the Control and No Agent groups differ little from the Collective Bargaining Group.

The Garbarino Categorization

In pursuit of a fuller description of the changes noted, we have made use of Garbarino's* helpful three-category division of the survey questions into personnel, academic, and administrative items. Although one might take issue with Garbarino's particular allocation of some questionnaire items to one or another of the categories, the unstated probable criteria for his categorization – traditional distinctions and internally consistent (i.e., within-category) response patterns – probably justify this first order approximation. Table 6 recapitulates Garbarino's categorized averages for the 1970 study and provides, for each of the study groups, a within-category comparison of 1970 and 1977 average responses.

Looking first at the *Personnel* category (questions 1, 2, 3, 4, 5, 17, 18), it is readily apparent, as reported in the context of index number analyses, that the study groups did not differ in any essential way in their 1970 responses from the responses of the total 1970 population. All three groups, however, do show a shift from lower to higher levels of participation in 1977 although the median level in each remained at Consultation and accounted for approximately 40% of the responses of each group. Perhaps the most significant of the changes in the constellation of Personnel items was the increment in Joint Action responses. Although the three groups shared an almost equal 1970 base line in this type of participation, the Collective Bargaining and No Agent Groups, particularly the latter, showed increases in Joint Action participation. The increase in such responses in the Control group, albeit in the same direction occurred only half as frequently, suggesting the special concern for Personnel items held by the groups which had conducted bargaining elections.

Turning our attention to the category of Academic items (questions 6, 7, 8, 9, 10, 11, 22, 23, 24, 26, 27, 28), the *median* level of faculty participation in 1970 was already at the Joint Action level; unlike Personnel issues, two-thirds of the total responses in this category were shared almost equally (33.3% versus 33.8%) between Joint Action and Determination. The only change

Table 6

Response Distributions in Personnel, Academic & Administrative Categories (in percent) 1970, 1977

Personnel Items

	Determination	Joint Action	Consultation	Discussion	None
1970 Survey (Garbarino)	3.6	21.4	27.0*	21.0	27.0
Control Group, 1970	2.2	20.7	27.3*	23.2	26.5
Control Group, 1977	4.2	26.6	39.4*	12.7	17.1
No Agent Group, 1970	2.1	18.0	34.5*	20.3	25.1
No Agent Group, 1977	4.2	35.6	40.0*	5.5	14.7
Collective Bargaining Group, 1970	8.2	23.5	29.6*	16.6	22.2
Collective Bargaining Group, 1977	3.9	38.6	36.2*	8.5	12.8

*Denotes Median Response

Table 6, Cont'd.

Response Distributions in Personnel, Academic & Administrative Categories (in percent) 1970, 1977

Academic Items

	Determination	Joint Action	Consultation	Discussion	None
1970 Survey (Garbarino)	33.3	33.8*	13.8	9.8	9.4
Control Group, 1970	30.5	36.7*	14.0	10.2	9.4
Control Group, 1977	32.6	36.6*	18.9	6.1	5.8
No Agent Group, 1970	41.2	24.1*	16.7	9.7	8.3
No Agent Group, 1977	36.6	38.0*	16.8	5.1	3.5
Collective Bargaining Group, 1970	31.6	34.0*	15.9	11.6	7.0
Collective Bargaining Group, 1977	30.7	35.8*	20.7	6.9	5.9

*Denotes Median Response

Administrative Items

	Determination	Joint Action	Consultation	Discussion	None
1970 Survey (Garbarino)	3.4†	16.9	24.8	23.6†	30.6
Control Group, 1970	3.8	16.0	25.7	23.3*	31.4
Control Group, 1977	4.1	18.3	32.1*	24.1	21.4
No Agent Group, 1970	2.3	13.4	31.9	22.5*	29.9
No Agent Group, 1977	2.0	21.8	29.6*	23.2	23.4
Collective Bargaining Group, 1970	3.3	19.0	26.0	22.3*	29.3
Collective Bargaining Group, 1977	4.3	21.0	26.6*	21.0	27.0

*Denotes Median Response
†Recalculated by Author

suggested by the 1977 returns was the 14% increment in Joint Action responses in the No Agent Group.

At first glance, changes in the category of Administrative items (questions 12, 13, 14, 15, 16, 19, 20, 21, 25, 29, 30, 31) appear to be radical, the median responses for each of the study groups having moved from the 1970 level of Discussion to the level of Consultation in 1977. Closer inspection of the reported responses, however, show no large percentage shifts with the exception of a 10% decrease of None responses in the Control Group. Minor shifts in the distribution of responses, coupled with the large and equal distribution of 1970 responses between the Discussion and Consultation levels, appear to account fully for the median changes.

Individual item analyses

Although the primary focus of change appeared to be the Personnel category of items, an item by item examination of the total array of questions is clearly called for in an effort to specify the principle components of

Table 7

1970-1977 Shifts within Participation Levels (18% or greater)
By Item and Survey Group

	Control Group	No Agent Group	Collective Bargaining Group
Personnel Items			
1. Appointments			27% to 45% J. A. *
2. Non-Renewals	27% to 46% Cons.	20% to 40% J. A.	
3. Promotions	34% to 52% Cons.	18% to 52% J. A.	29% to 49% Cons.
4. Tenure		14% to 54% J. A.	29% to 48% Cons.
17. Salary Scales		12% to 31% Cons.	8% to 51% J. A.
18. Individual Salaries		21% to 43% Cons.	7% to 30% J. A.
Academic Items			
6. Curriculum Determination		6% to 40% J. A.	
7. Degree Requirements		10% to 28% J. A.	
9. Types of Degrees		32% to 65% J. A.	11% to 37% Cons.
10. New Educational Programs		37% to 61% J. A.	
11. Admissions		8% to 35% J. A.	
22. Teaching Assignments		62% to 43% J. A.	
24. Department Committee Membership		11% to 37% J. A.	
28. Academic Discipline		50% to 28% Det.	
Administrative Items			
15. Selection Academic Deans		11% to 33% J. A.	
16. Selection Department Chairperson		17% to 53% J. A.	23% to 48% J. A.
19. Short Term Budgetary Planning		27% to 49% Cons.	
21. Teaching Load Determination		3% to 21% J. A.	20% to 46% J. A.

*To Be Read: An increase from 27% (1970) to 45% (1977) in Joint Action Responses.

change within each category. As a first step, for each study group, the median response level for each item was compared with the median of corresponding items in the 1970 survey.

For the 1977 Control Group, shifts of the 1977 medians from those of 1970 showed greater faculty participation in governance in eight items; a drop in medians (toward lesser participation) appeared in two items. Similarly, comparing the No Agent Group with the Control Group, seven of nine median changes were in an "upward" direction, and the remaining two downward. A comparison of the Collective Bargaining Group with the Control Group reflected a more bi-directional division, with six upward median changes and five downward ones.

Since median changes can occur through the shift of only a small number of cases in "watershed" situations (for e.g. pp. 14 and 16), an effort was made to pinpoint the major within-item changes on the basis of actual percentages rather than on median shifts in percent-response distributions. Using for each item the prerequisite of *at least* an 18% shift from 1970 to 1977 responses within any participation level, a clearer though enigmatic differential emerged (Table 7). Although 18 items of the total 31 appeared to be the focal points of change, nine of them involved *only* the No Agent Group. Personnel items as already noted above, were significantly involved, particularly among the No Agent and Collective Bargaining Groups.

Since, however, the larger shifts shown in Table 7 were generally associated with percentage shifts in other participation levels, or from differing base lines, it was considered essential to examine the full interplay of change through the use of graphic illustrations for each of the 18 items. (Figs. 1-18*)

For each item, the graphs represent the 1970 response pattern (solid line) and the 1977 response pattern (broken line) established by each of the three study groups. Using the Consultation level of faculty governance participation as a reference point in each of the graphic representations helps to make the general upward displacement of faculty participatory roles more discernable.

Among the six graphs representing items 1, 2, 3, 4, 17, 18 from the Personnel category none shows more than a minor deviation from the generalization of upward displacement. In the graphs representing eight items (6, 7, 8, 9, 10, 11, 22, 24, 28) from the Academic category, reversals do occur in the No Agent and Collective Bargaining Groups. The graph for item 6 (curriculum revision) suggests that augmented Joint Action responses occur at the expense of a lessened Determination role among No Agent institutions; the same pattern seems to characterize item 11 (admission policy) where a decrease in 1977 Determination responses accompanies a nearly equal rise in the Joint Action response percentage. In the Collective Bargaining Group, item 7 relating to degree requirements, follows this same "exchange" pattern on a reduced scale, and repeats it in item 9 which examines the types of degrees to be offered. The pattern does not emerge among the four items in the Administrative category.

Perhaps the more pertinent information supplied by the graphs is their validation of some key collective bargaining objectives. The graph for item 17 for example shows the decisive role played by the Collective Bargaining unit in determining salary *scales* by Joint Action – a fairly standard bargaining contract provision. Item 18, on *individual salaries,* while characterized by Consultation and Joint Action, appears to have been subordinated to salary scale setting in this group of institutions. No Agent institutions, lacking collective bargaining contracts, appear nonetheless to have evolved the Consultation mechanism for handling individual salary determinations. One must remember, of course, that an improved opportunity to act jointly on salary or other matters is not the same as prevailing on these matters.

Another collective bargaining objective is mirrored in item 21, the establishment of teaching loads. It is clear that neither of the other study groups has approached the success of the Collective Bargaining Group in achieving Joint Action status in contrast with the 1970 preponderance of Discussion or None responses.

Among campuses where a collective bargaining election resulted in the decision *not* to be represented by an agent, the graphic display suggests other accommodations reached between faculty and administration. Some of these, of course, may have been arrived at long before an election was actually conducted; others perhaps just before or following an election. Items 3 (promotions) and 4 (tenure), originally showing a fairly high Consultation percentage in 1977, show a sharp modal shift to Joint Action unlike the Control or the Collective Bargaining Groups. As already noted, however, items 6 (curriculum), 9 (types of degrees), and 11 (admission requirements) show a relinquishing of some degree of Determination. One may hypothesize that by tacit agreement or by an airing of views a *quid pro quo* agreement was reached which, at least in some cases, may have reduced some of the pressures that might otherwise have led to the election of a bargaining agent.

With respect to a general comparison of the study groups and their response patterns, there is a final and important observation, namely, that, with few exceptions, no one group tends consistently to surpass the improved (1977) performance of the others. Instead there appears to be a "leveling" or "catch up" effect bringing the three groups into roughly equivalent, but higher, levels of governance participation in the period under study.

*See Appendix III for a simplified tabular representation of the changes in lieu of the graphic representations supplied.

Figure 1 – Item 1: Appointments

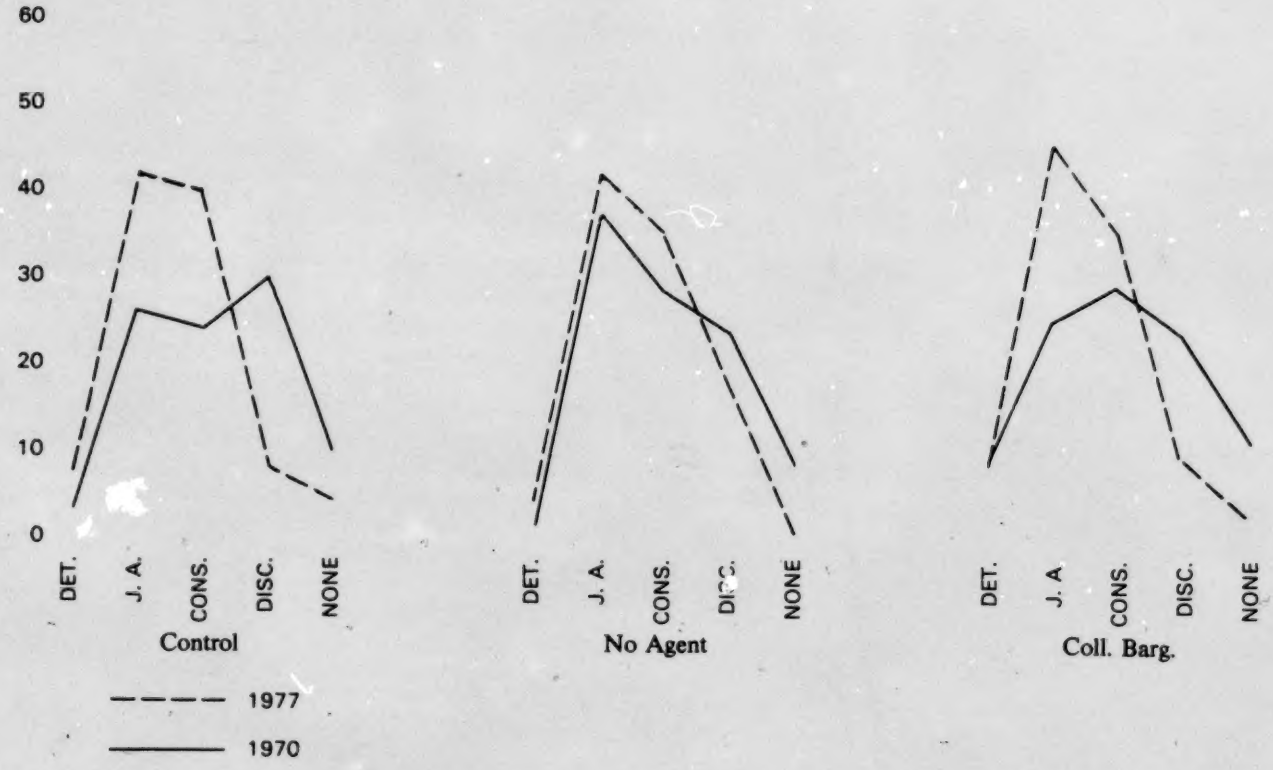


Figure 2 – Item 2: Reappointments, Non-Renewals

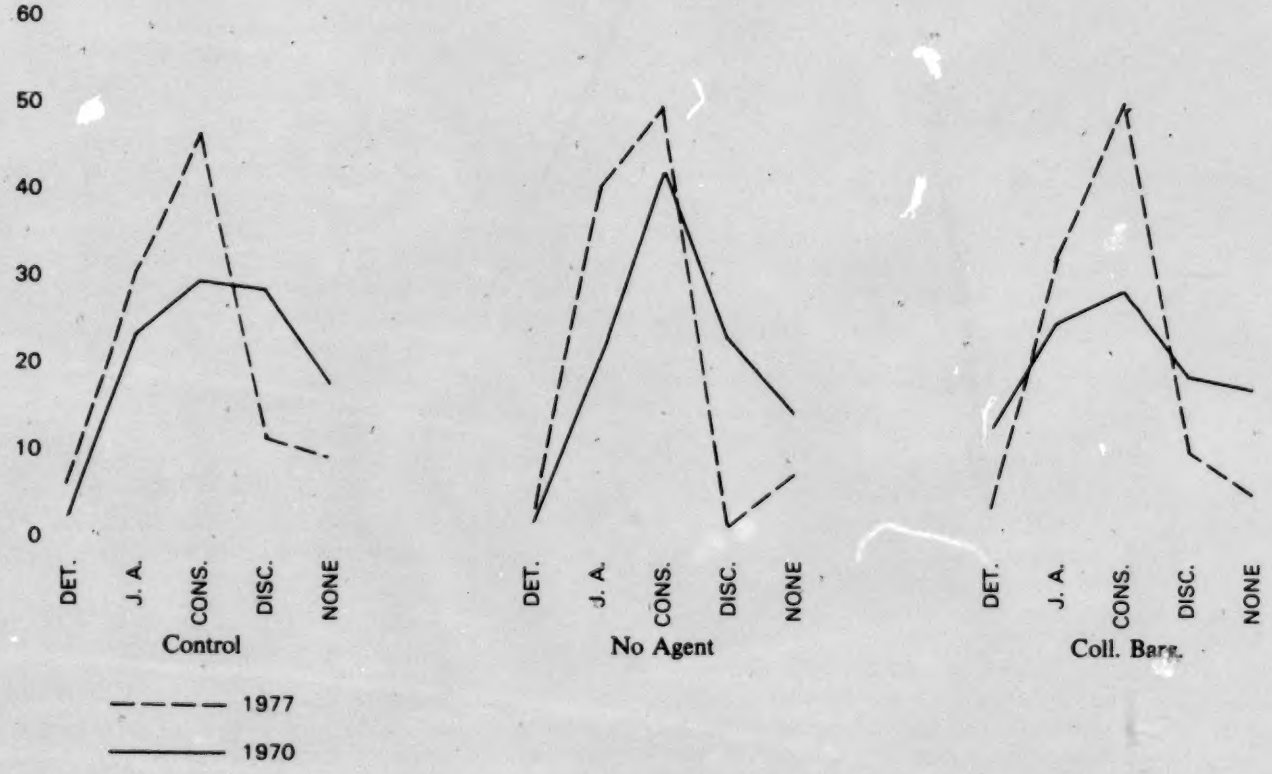


Figure 3 – Item 3: Promotions

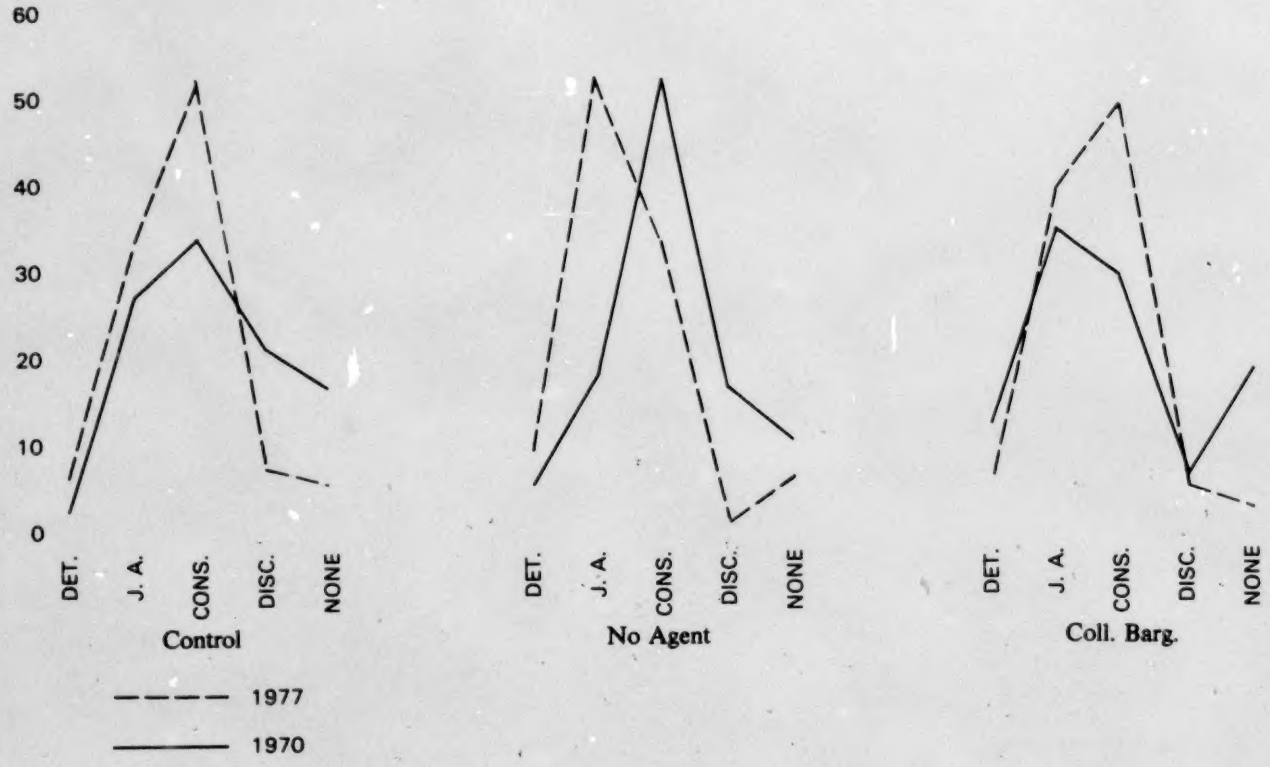


Figure 4 – Item 4: Tenure

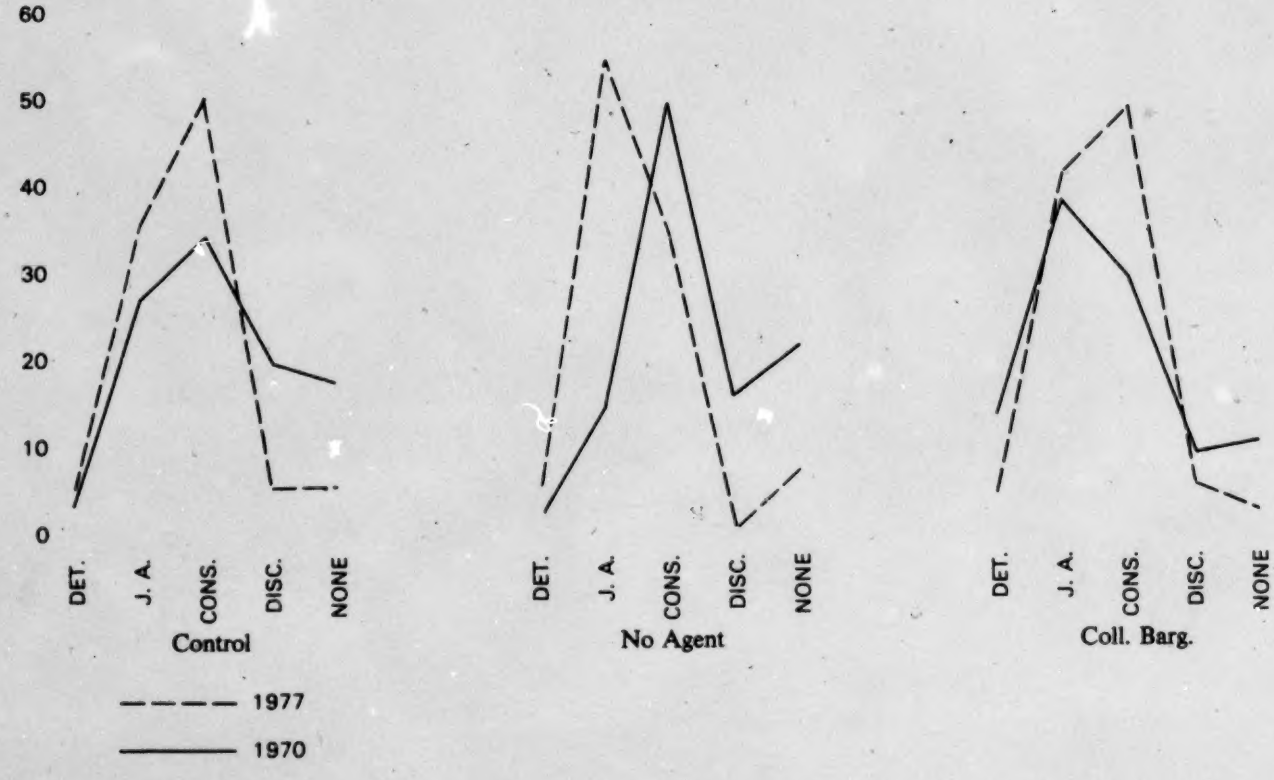


Figure 5 – Item 17: Faculty Salary Scales

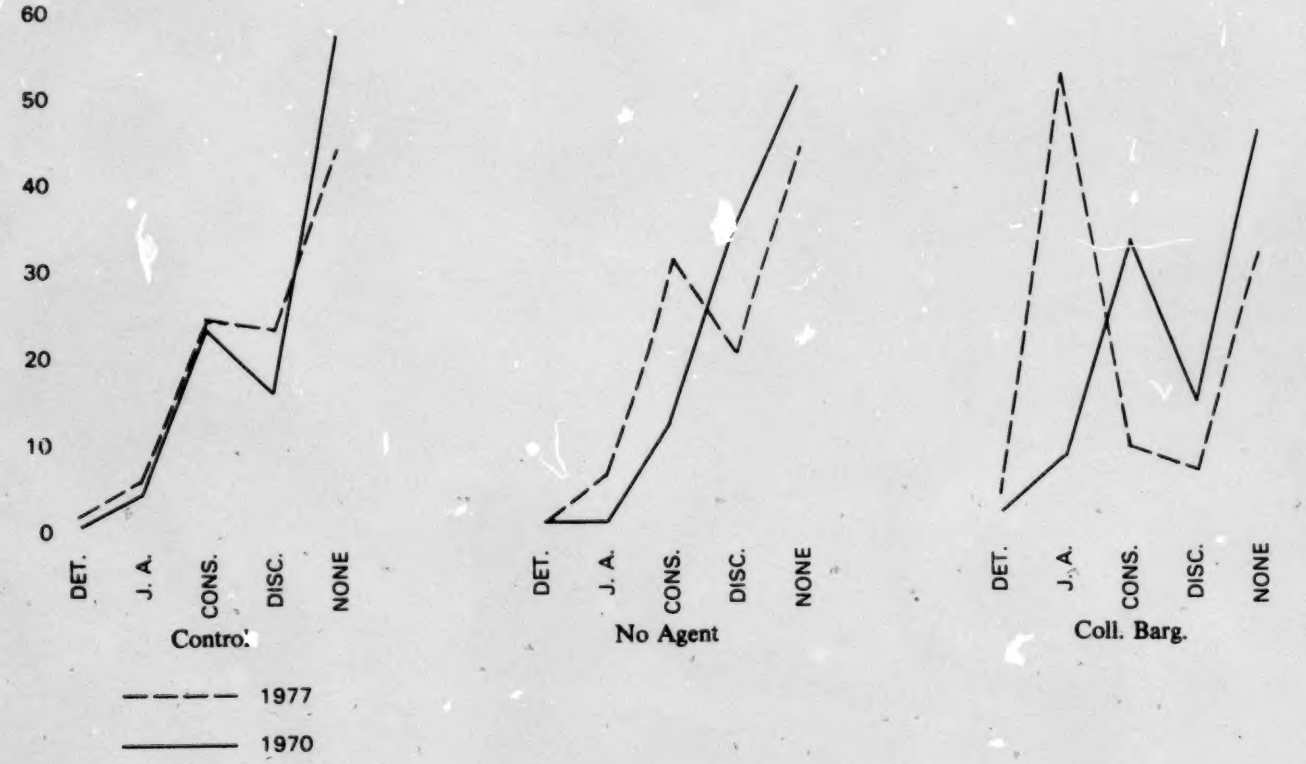


Figure 6 – Item 18: Individual Salaries

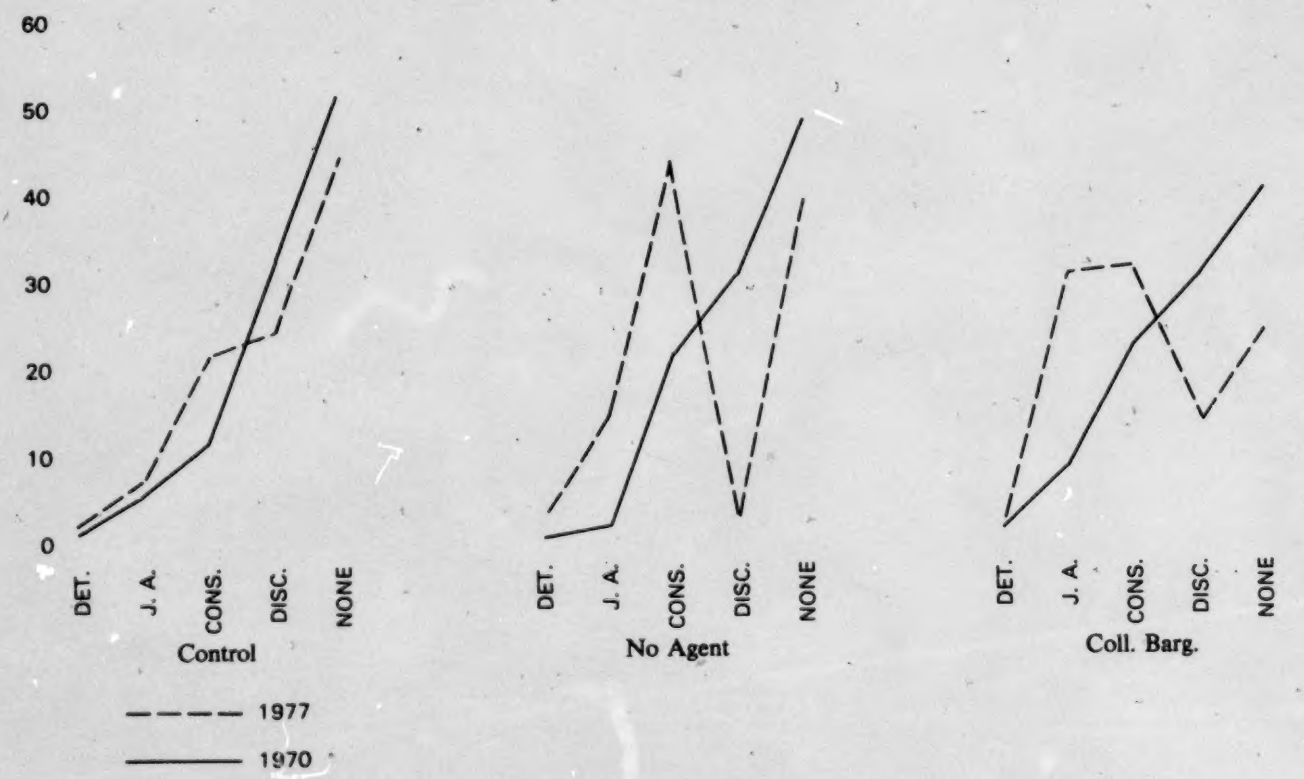


Figure 7 – Item 6: Curriculum

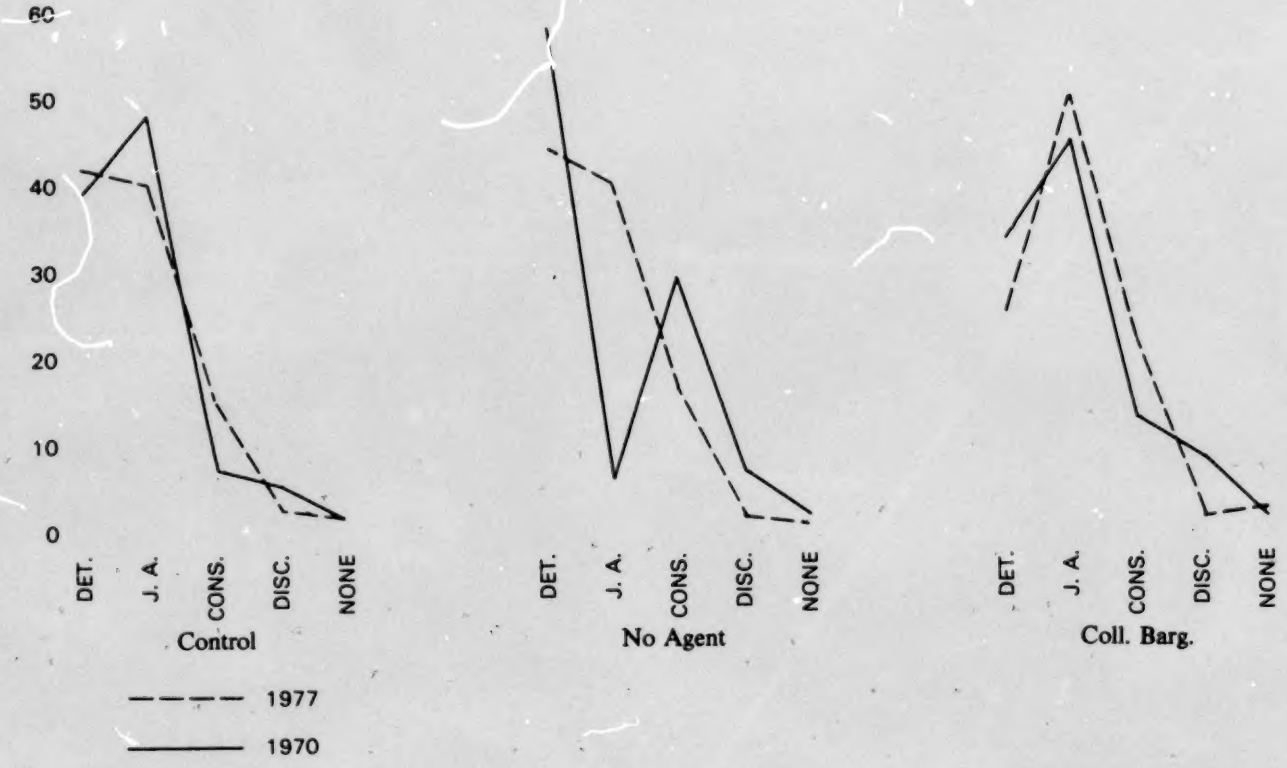


Figure 8 – Item 7: Degree Requirements

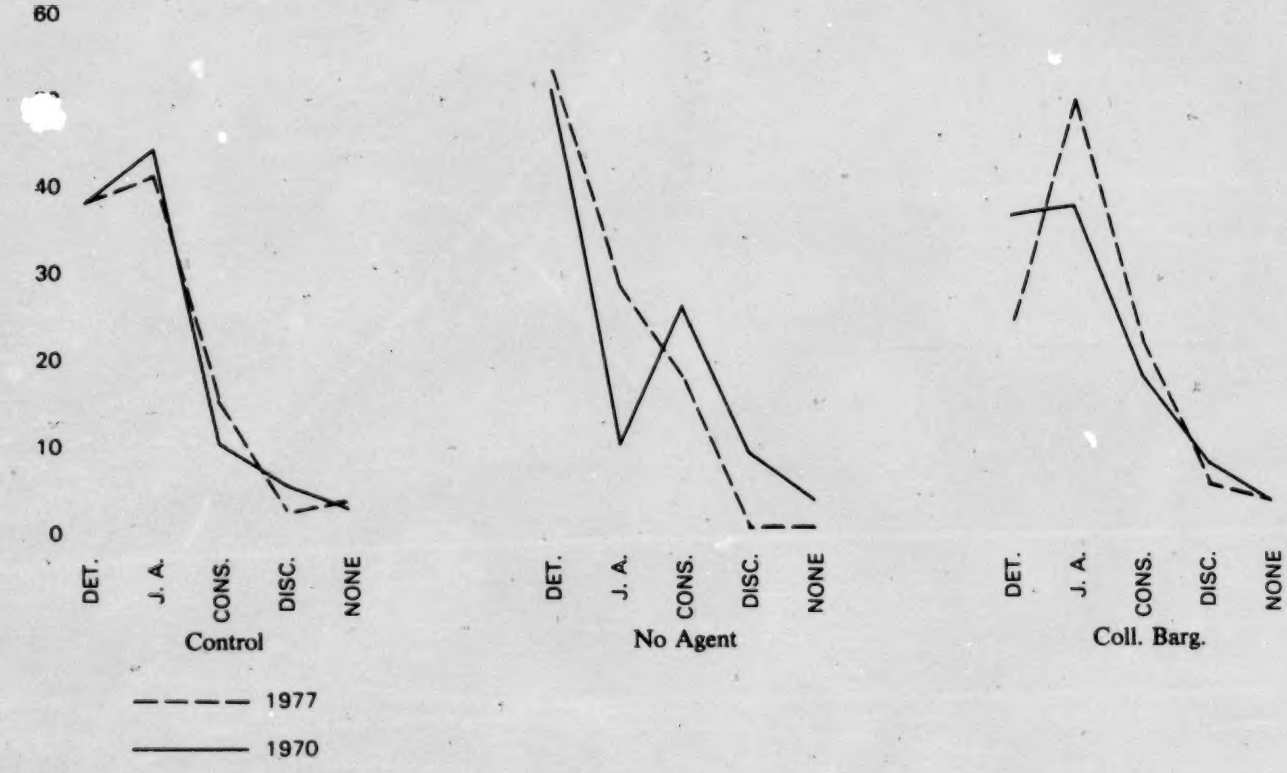


Figure 9 – Item 9: Types of Degrees

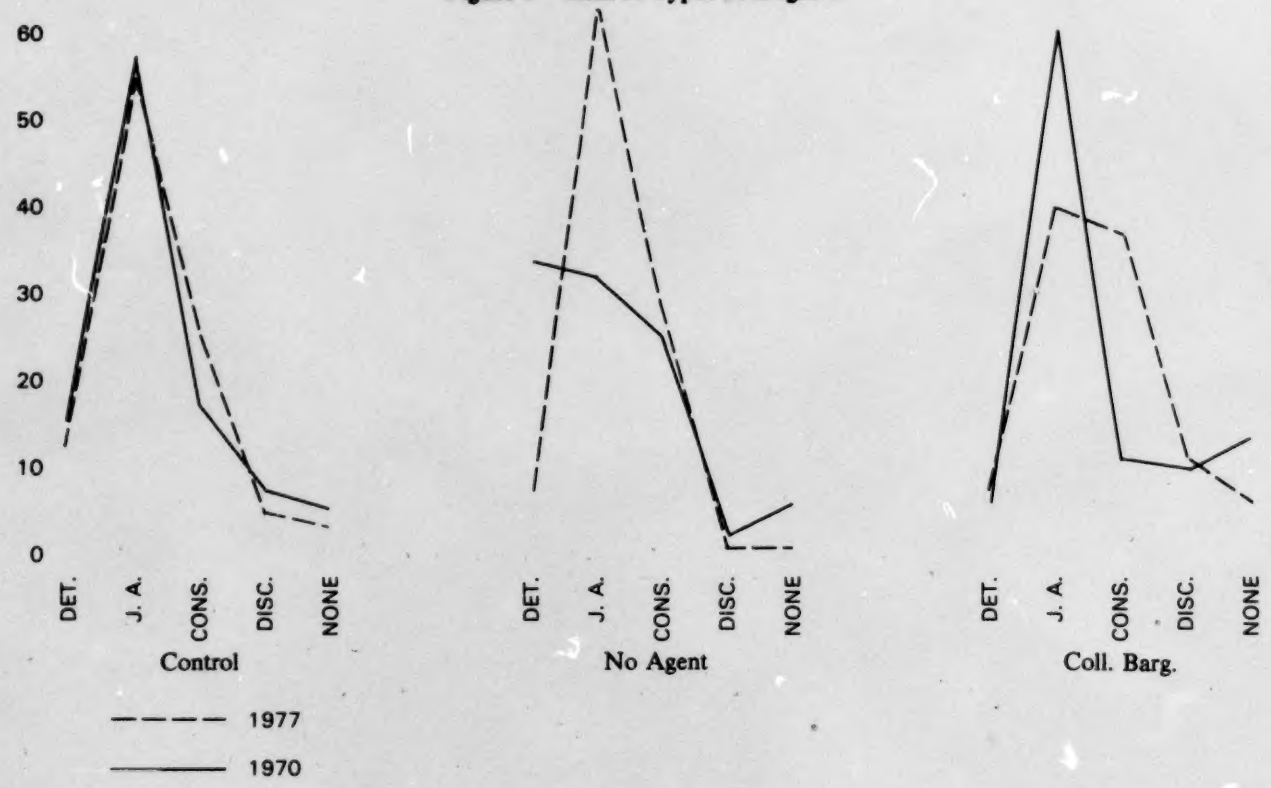


Figure 10 – Item 10: New Educational Programs

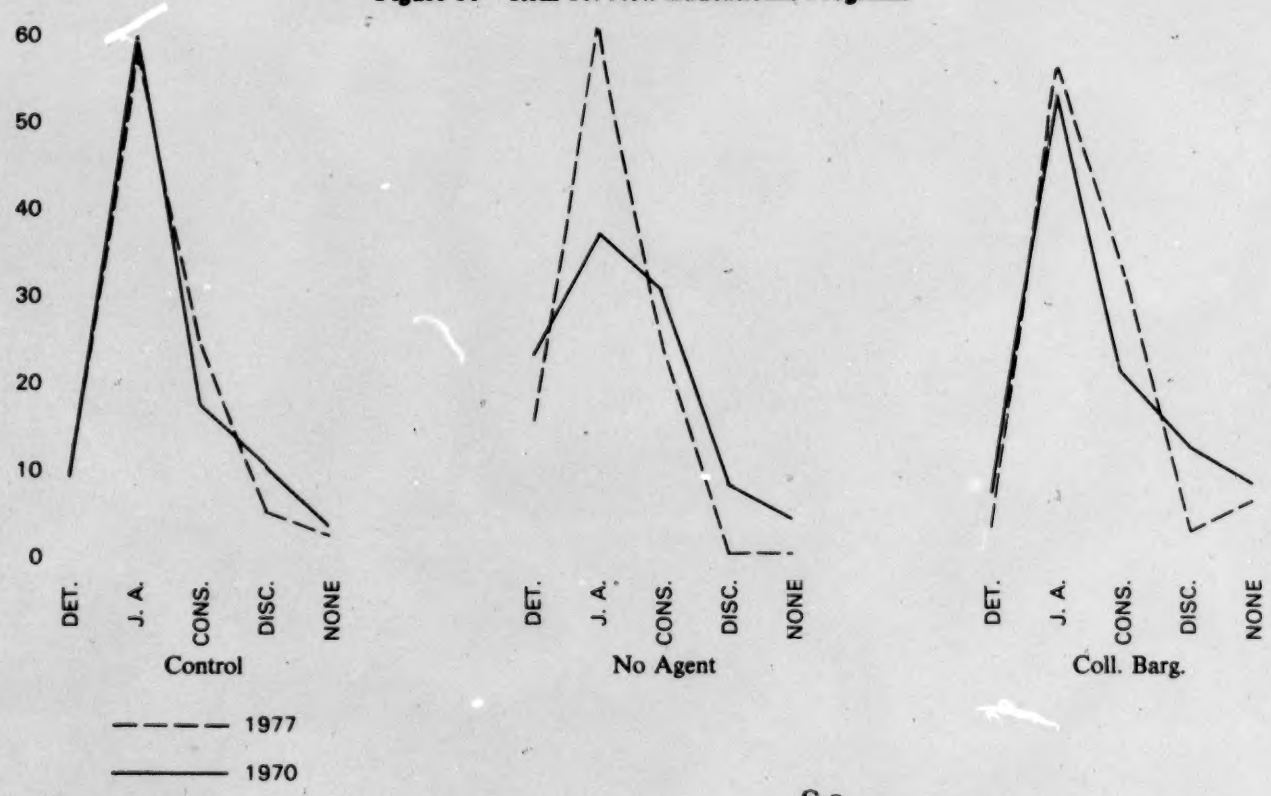


Figure 11 – Item 11: Admissions

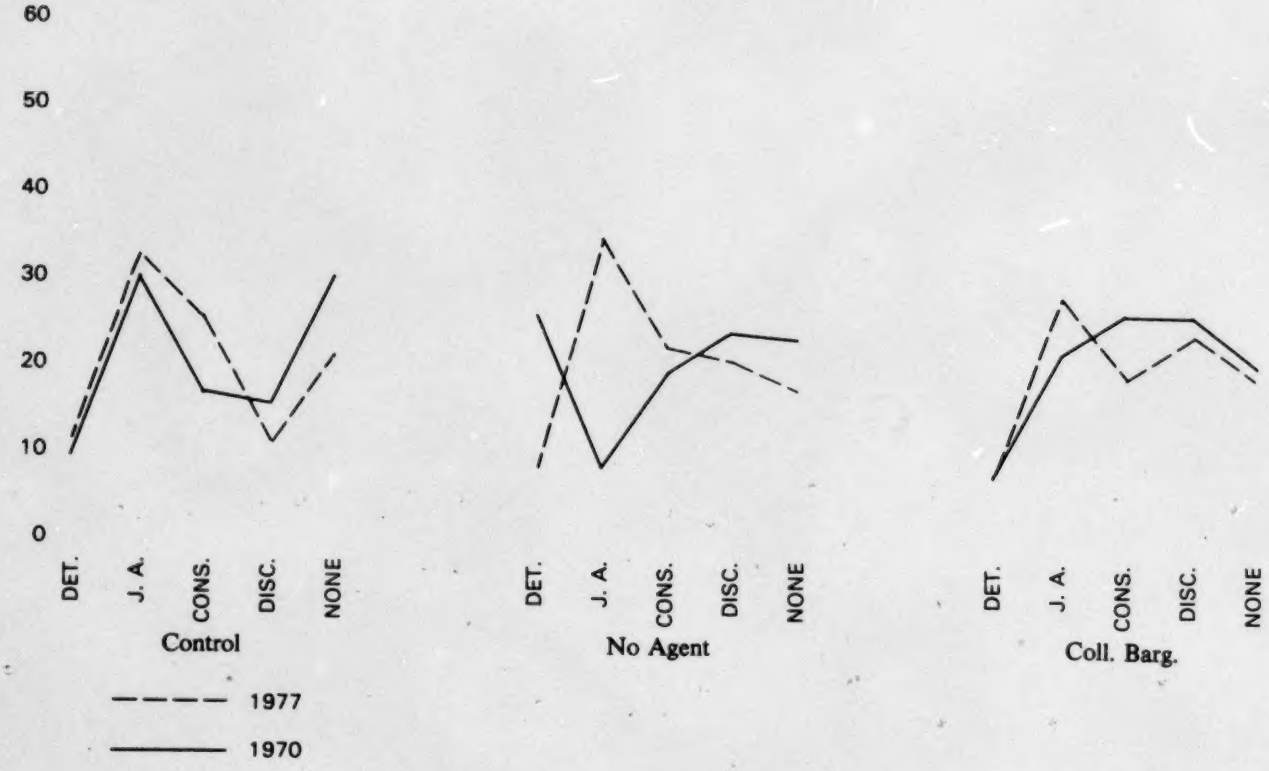


Figure 12 – Item 22: Teaching Assignments

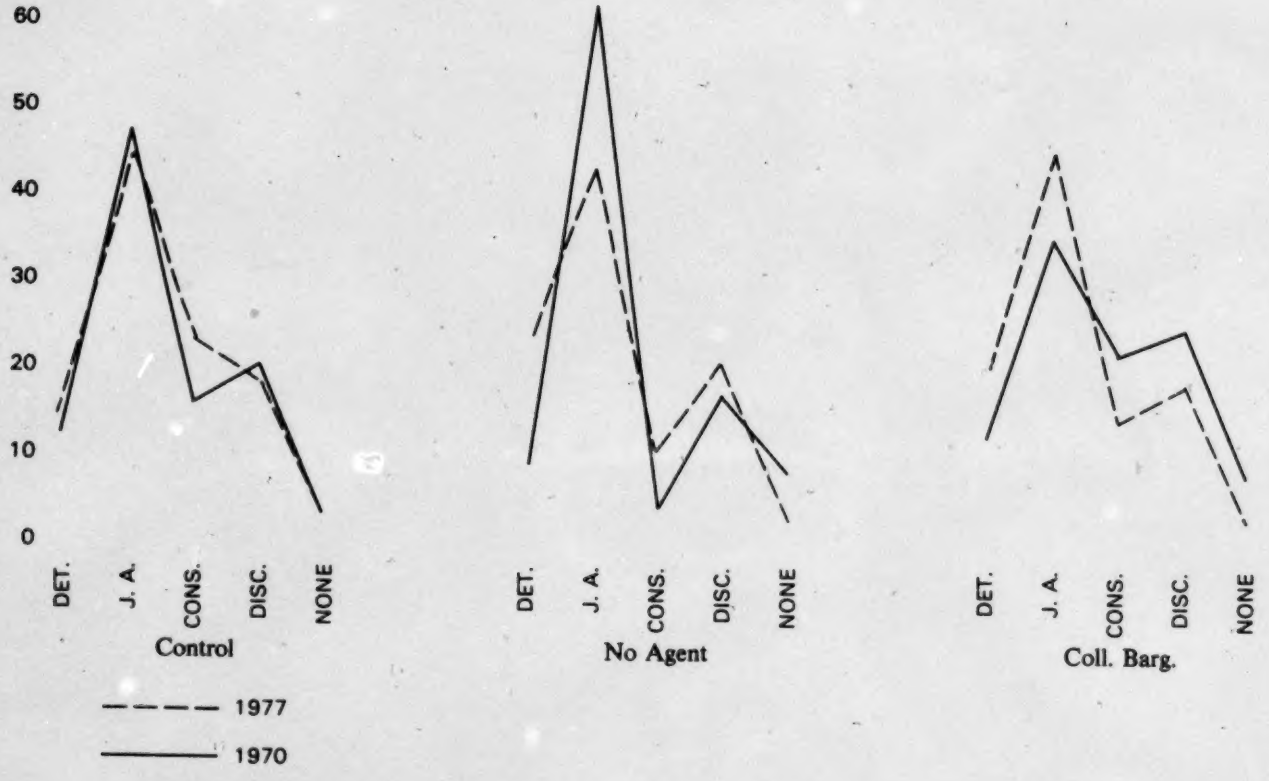


Figure 13 – Item 24: Department Committee Membership

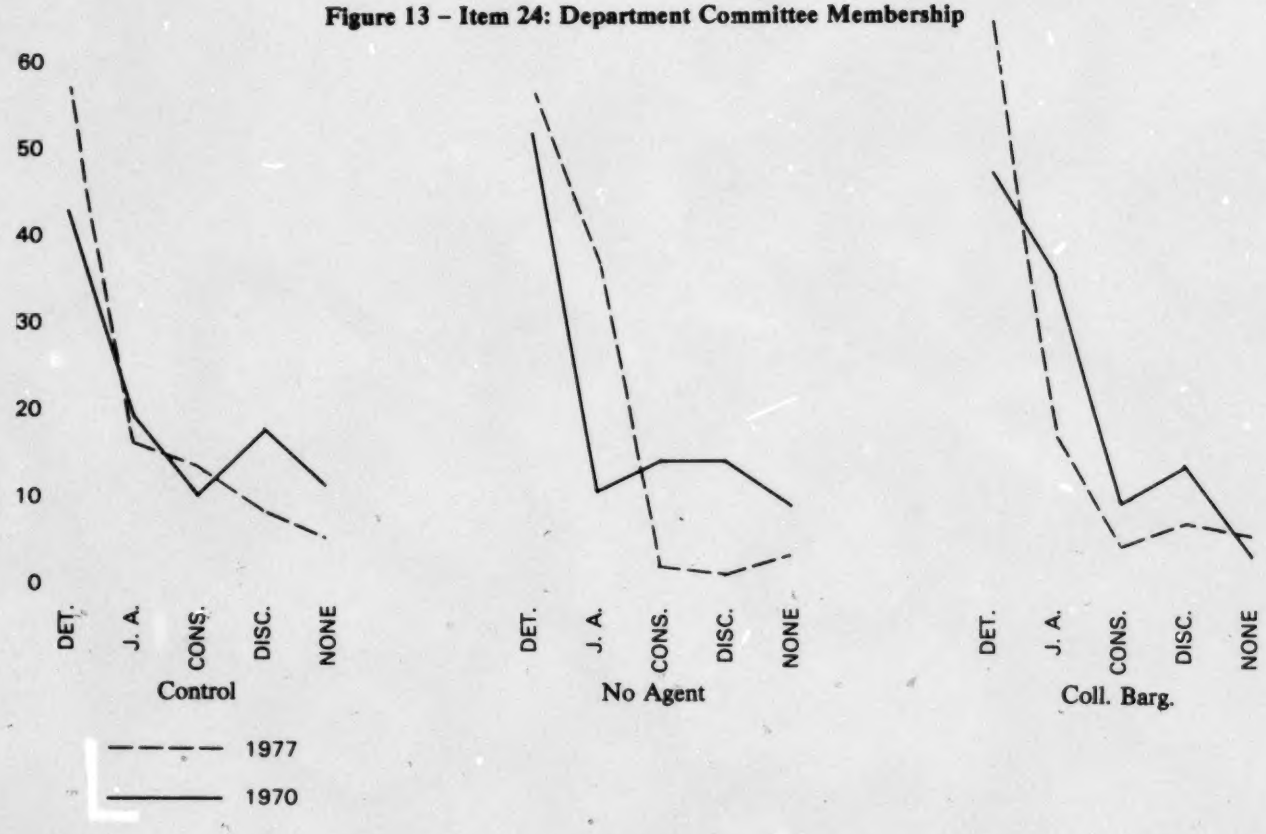


Figure 14 – Item 28: Academic Discipline (Students)

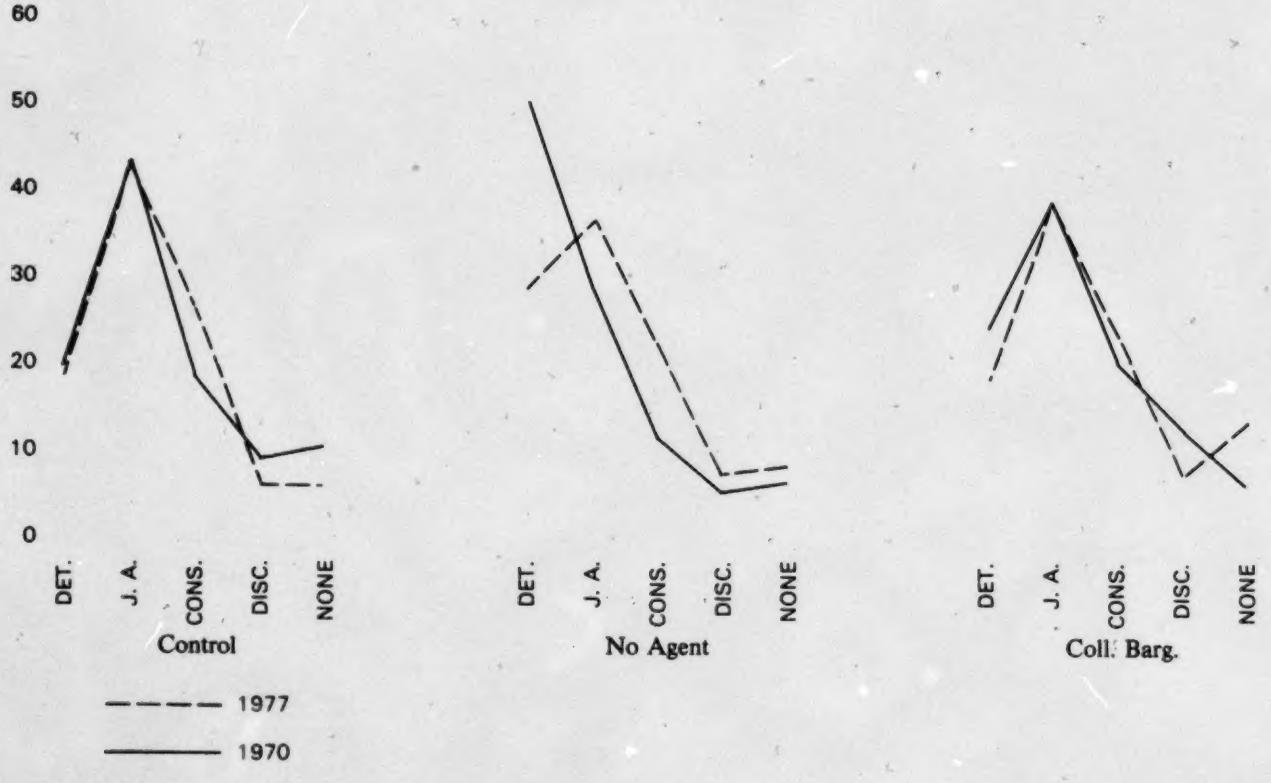


Figure 15 – Item 15: Selection Academic Deans

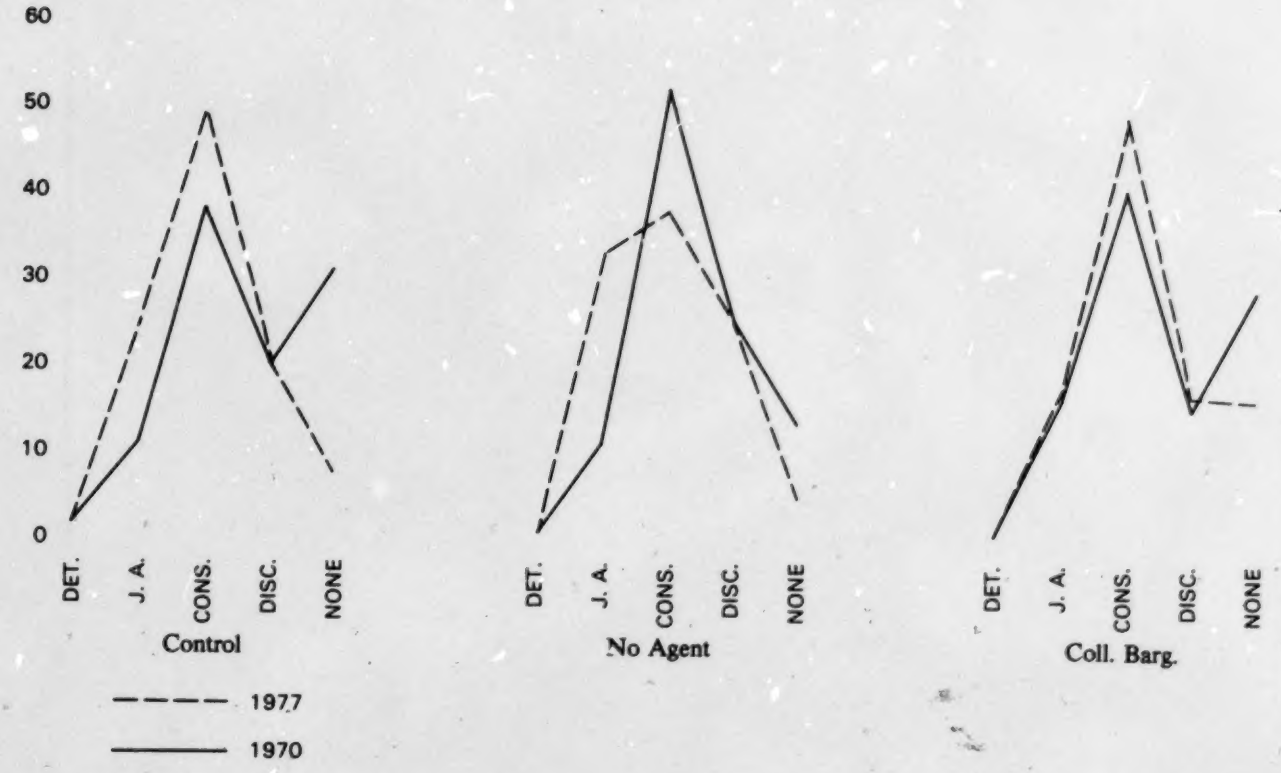


Figure 16 – Item 16: Selection Department Chairperson

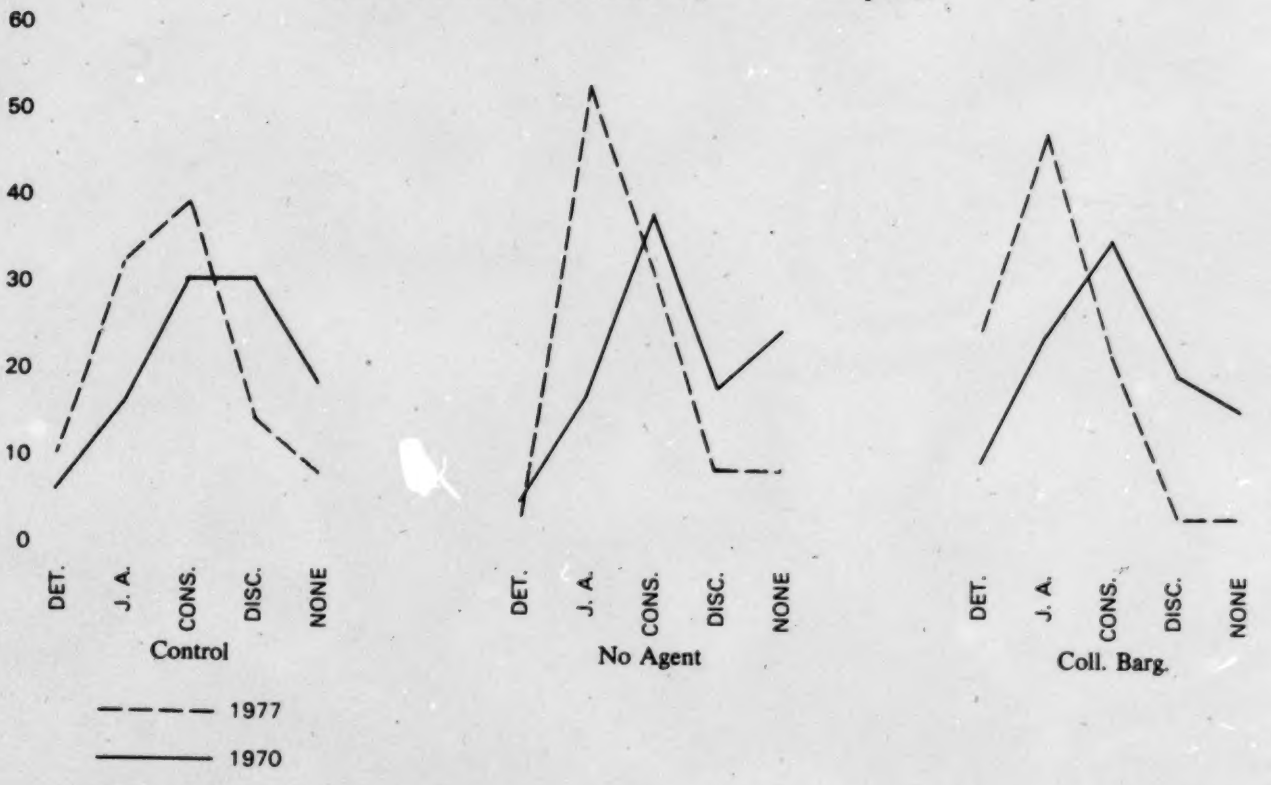


Figure 17 – Item 21: Teaching Load Determination

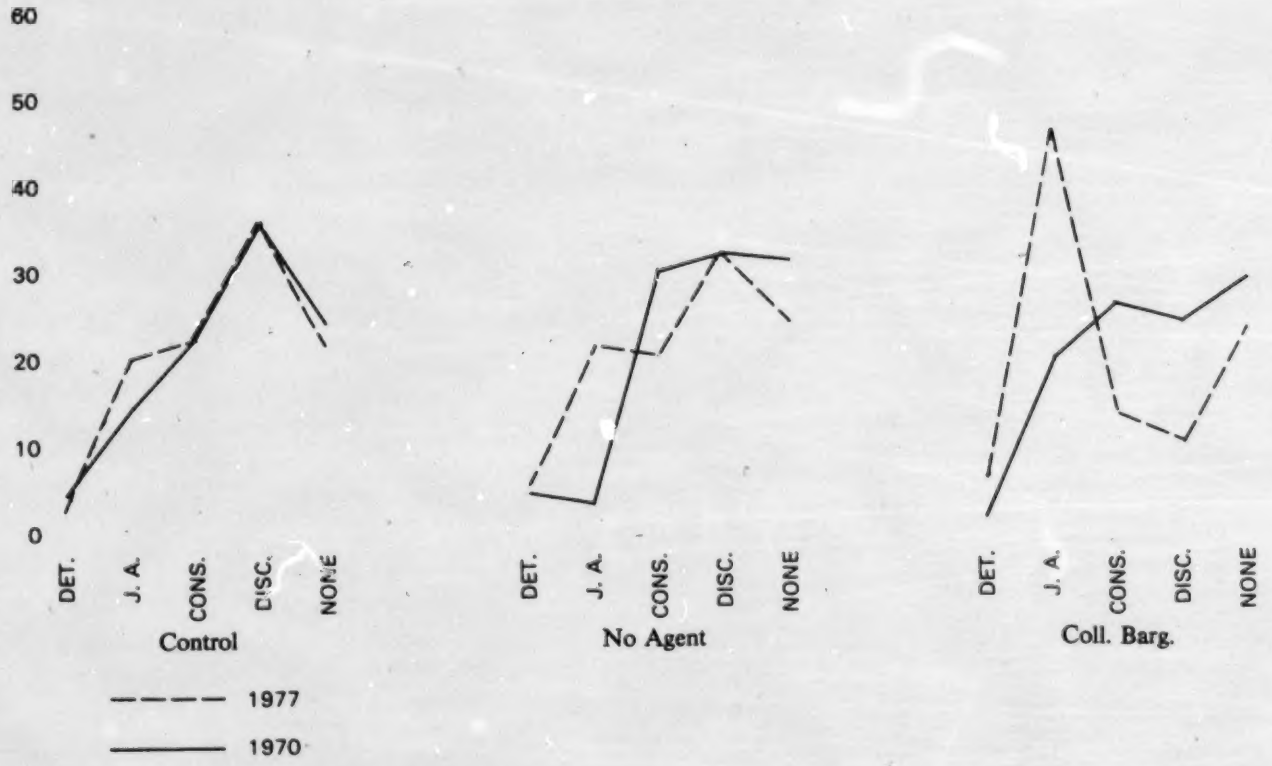
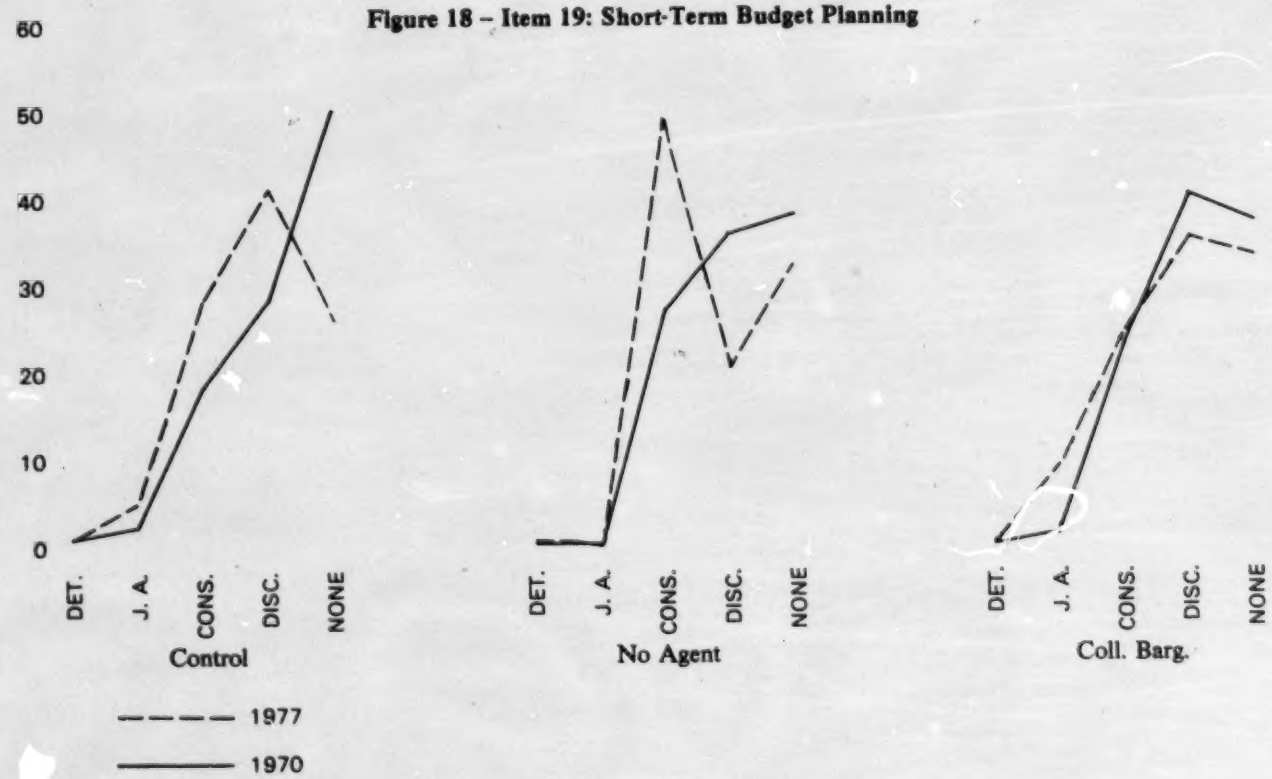


Figure 18 – Item 19: Short-Term Budget Planning



IV. Information Ancillary tc Survey Items on Institutional Governance Practices

In addition to the requested responses to the thirty-one questions comprising the survey, requests were addressed to the Elections Group institutions for the following information related to the decision to hold an election: the dates of first and subsequent elections, the dates of initial and subsequent contracts, the parties involved in contract negotiations and a report on faculty-administration post-contract relationships (see Appendix I, pp. 42-43). Other information, sought from all groups, related to the status of faculty handbooks, and the access of faculty members to their governing boards other than through their chief administrative officer. These topics, under their respective headings, are discussed below.

Access to the Board

Provisions for a direct exchange of opinion between faculty members and their governing boards (rather than through institutional presidents) was reported by 93% of the responding institutions in the Control Group in 1970 and again in 1977. The No Agent and Collective Bargaining Groups, reporting an identical level of access in 1970, showed a slight decrease (8%-10%) in 1977.

Faculty Handbooks

In 1970, only 40% of the institutions in the Control Group reported the publication of a faculty handbook or university manual distributed to each faculty member. A 22% increase reported in 1977 appears to corroborate the development of faculty rights – recognition consonant with the increase in faculty governance roles reported in the survey data. Some two-thirds of the No Agent Group had already reported this practice in 1970, and in 1977, 72% of these institutions so reported. It may well be that this phenomenon, along with other unexplored factors, helps to account for their decision *not* to elect a bargaining agent. Out of similar considerations, the pressures within the Collective Bargaining Group may have favored the election of an agent, since in 1970 only 36% of them reported the availability and distribution of a handbook, a percentage which rose to 59% in 1977.

The Impetus to Collective Bargaining Elections

Not all of the No Agent or Collective Bargaining Groups responded to the invitation to select, from among the 31 survey items, those which were more significant in leading to a decision to conduct an election. Recognizing that many of the responses received were based on retrospective consideration (particularly in the No Agent Group) the three issues most frequently reported in both groups were the same – faculty involvement with salary scales, individual salaries, and authority in faculty government; among the No Agent institutions, frequently noted additional items were short term budget planning and tenure.

In the Collective Bargaining Group additional items included as important issues were those related to non-renewals, promotions, tenure, dismissals (personnel items) and average teaching loads.

Among the Collective Bargaining Groups there was no consistent transition from items reported to be the basic reasons for conducting an election, to the contract provisions related to these issues. Thus, of 13 institutions indicating limitations in the faculty role relative to non-renewals as one reason for seeking an election, only 6 reported contractual changes designed to correct the limitations. Similarly, of 12 institutions reporting an election drive based in part on deficient faculty input in dismissal proceedings, only 5 reported corrective clauses in the bargaining contract.

Other institutions, now operating under bargaining contracts, having shifted from early practices in respect to tenure decisions and election of department chairmen, *et al.*, did not report these issues as original election-promoting ones.

Negotiations with Union Representatives

Twenty-nine institutions responded to the question "With whom has the Collective Bargaining agent mainly negotiated?" Twenty-four of them were under public control, four under private control, and one was church affiliated. Thirteen of the public institutions, a little more than half of them, reported that negotiations were conducted between the bargaining agent and state agencies; nine conducted negotiations with their governing boards, and four with their local administrators. In the two remaining institutions, negotiations included both the governing board and a state agency. One of the anomalies of the public institution negotiations was the range of state

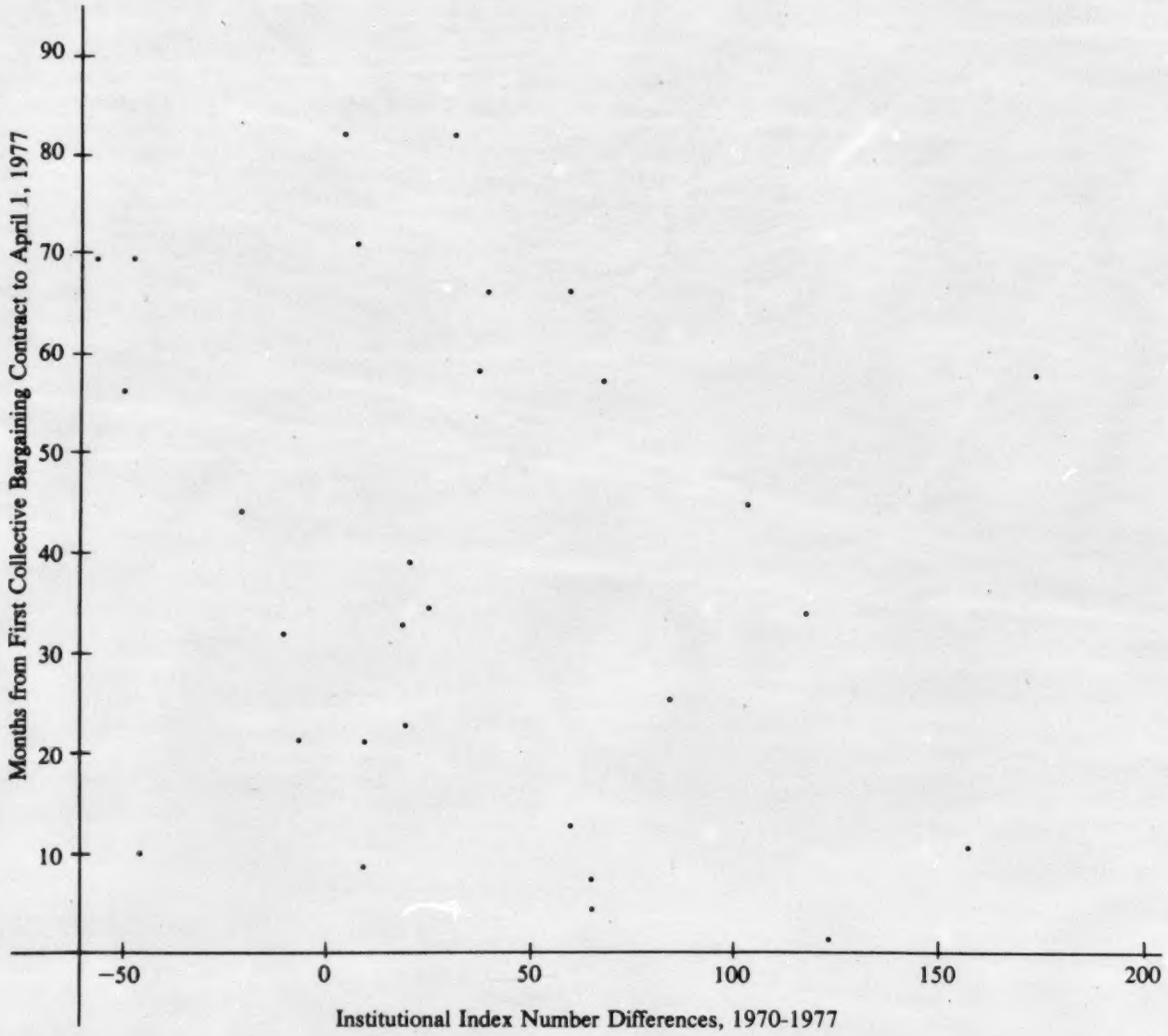
agencies which were reportedly represented. They included an Office of Employee Relations, a State Department of Higher Education, the Office of the Administrator of the Governor, and "the executive branch of the state government." This variability encompassing differential emphases (e.g. industrial vs. academic bargaining models), differential expertise, and distinguishable political aims, may account for some of the discrepancies between the Collective Bargaining Groups' reported objectives and their actual accomplishments.

Relationships between Index Scores and the Duration of Elected Agent or Signed Contract Status

Logically, it could be expected that the longer the period since the signing of the first contract, the more would be the realized "gains" originally sought by the faculty union. To the extent that such gains included an increased faculty participation in decision-making, there

Figure 19

Scatter Diagram Showing Gain or Loss in Index Number, 1970-1977
vs.
Span (in months) from First Bargaining Contract to April 1, 1977



should be a positive correlation between the duration of the contract and any of the indices measuring the increase in faculties' governance responsibilities. Accordingly, using the 29 institutions which supplied the date of their first signed contract, a scattergram was prepared to show the relationship of the interval between that date and April 1, 1977 vs. the institution's index number *change* from 1970 to 1977 (Fig. 19). Although one would expect an attenuated correlation because the 1970 base line would not correspond well with actual contract dates, an inspection of the scattergram indicates a near zero correlation. A similar scattergram substituting the first collective bargaining *election* date for the first signed *contract* date, provides an equally disappointing lack of significant relationship.

The Post-Contract Institutional Ambience

The survey sent to the presidents and collective bargaining representatives of unionized campuses included a request that they each report separately and confidentially their perception of institutional changes in five specified areas subsequent to a contract agreement

Table 8

	Faculty N = 17				Administration N = 15			
	Increase	Decrease	No Change	?*	Increase	Decrease	No Change	?
Harmony								
N	5	3	3	6	4	5	4	2
%	29	18	18	35	27	33	27	14
Formalization								
N	15	0	0	2	13	0	0	2
%	88	0	0	12	86	0	0	14
Power								
N	14	1	1	1	4	3	5	3
%	82	6	6	6	27	20	33	20
Academic Senate Influence								
N	5	5	3	4	2	9	1	3
%	29	29	18	24	14	60	7	20
Collegial Relations								
N	5	3	3	6	3	1	4	7
%	29	18	18	35	20	7	27	47

*Denotes an inability on the part of the author to determine the position of the respondent on the issue.

(Appendix I, Item 43). Seventeen faculty representatives and 15 administrators, representing 24 institutions, responded to this request. Their responses are summarized in Table 8.

With respect to a sense of increasing conflict versus a growing harmony in post-contractual relationships between faculty and administrators, about a fourth of the respondents – both union representatives and presidents – noted increasingly harmonious relationships. Somewhat fewer faculty and about a third of the administrators observed increased conflict in such relationships.

There was considerably less disagreement on the issue of perceived post-contract formalization in faculty-administrative relationships, a large majority (about 85%) of each respondent group noting an increase in formalization. A significant number of those responding, however, took pains to distinguish between formalization and adversarial relationships, noting that the former was *not* to be construed as a conflict situation, and that most often it reflected a change in format rather than in interpersonal feelings.

In response to the question of perceived change in "power," 80% of the bargaining agent representatives expressed the belief that they (and the faculty they represented) had gained in power. This was in marked contrast to the administrators, 60% of whom believed that either their own power had increased or that no change in power structure had occurred. These differential perceptions would suggest that reports of conflict on the basis of power shifts must be viewed as atypical or exaggerated.

Union representatives were evenly divided on the question of whether the Academic Senates were more (29%) or less (29%) powerful subsequent to the signing of a bargaining contract. Sixty percent of the administrators, however, saw Senate influence as having waned.

With respect to collegial (intra-faculty) relationships, more than a fourth of the representatives of bargaining agencies believed that greater collegiality had emerged, while administrators most often saw either no change (27%) or some increase (20%) in collegiality. The unusual frequency of uninterpretable administrative responses to this question (about 50%) is attributable to their frequent identification of collegiality with harmonious faculty-administration relationships. Such responses were not tallied.

Comparing these first-hand impressions with the foreboding reports and dire predictions of distant observers, one is led to the conclusion that negative predictions have been unduly pessimistic.

V. Conclusions and Speculations

1. The Control, No Agent, and Collective Bargaining institutions participating in the study reported here, did not differ in any significant way in their 1970 responses from the total 1970 survey population. In this respect they appear respectively to constitute representative samples of the 1970 survey population – a necessary prerequisite for the meaningful study of institutional change (p. 10).

2. In the period 1970-1977, all three groups show evidence of change in faculty governance roles from lesser to greater responsible involvement.

3. These changes, whether expressed as direction, extent or numerical frequency, fail to show appreciable ultimate differences between the Control and Elections Groups, or between the subparts of the latter (No Agent and Collective Bargaining Groups), (pp. 11 and 14).

4. Eighteen of the 31 individual governance items reflect appreciable response changes from 1970 to 1977. The changes, uniformly in the direction of increased faculty participation, are minimal in the Control Group, pervasive in the No Agent Group and occur mainly among Personnel items in the Collective Bargaining Group (Table 7, p. 16); (Figures 1-18, pp. 18-26).

5. "Upward" shifts in Collective Bargaining responses were most clearly observed in Joint Action decisions on salary items (17, 18), teaching load determination, (21), and the selection of the department chairperson, (6).

6. The faculty representatives and administrators of the collective bargaining institutions are in essential agreement (85%) on the increase in formalization of faculty-administrative relationships, attributing this phenomenon to changes in style rather than to an increase in adversarial positions.

7. There is little or no evidence to support predictions of growing faculty-administrative conflict and disharmony subsequent to a negotiated collective bargaining contract.

8. Although a large majority (80%) of faculty representatives report an increase in faculty "power," administrators either fail to perceive a lessening of their own power or believe that it has actually increased.

9. Administrators, unlike most faculty representatives, judge the influence of Academic Senates to have waned in the wake of a collective bargaining contract.

As we review the data and these conclusions in the light of our original model postulating economic and personal-professional factors as the prime movers toward collective bargaining, we would be encouraged now to say that *all* of the institutional groups under study have been successfully motivated to improve their governance roles, and that collective bargaining has failed to establish itself as a particularly effective medium for doing so. Intra-institutional changes over the period 1970-1977 have followed a progressive course toward fuller faculty participation and responsibility in decision-making on matters which are essential components of academic life. Although the evidence does not support the notion that full or optimal responsibility has been achieved, it is apparent that over the time period studied, there has been a play of forces moving the professoriate, however slowly, in this direction. The data do not provide an explanation of what these forces, operating ostensibly over time, actually are. Among them, however, we may probably count legal decisions in response to increasing efforts by faculty members to establish their prerogatives through court action. They may include, too, efforts on the part of administrators and governing boards to avert or avoid dangers which they have envisioned as hallmarks of bargaining. In some instances, as reported by faculty members and administrators, the change may be attributed to mutual good will and an understanding of the needs of the academic community facing financial retrenchment and the loss of institutional autonomy.

Given the strong indications that Control Group institutions have shown an apparent improvement in faculty governance roles, and that institutions in the No Agent Group have followed suit, one is led to examine more closely the performance of collective bargaining institutions which fail to demonstrate more than catch-up or keep-up accomplishments in this respect. If, moreover, salary studies prove accurate in suggesting a similar performance on economic issues, it becomes important to examine factors which may have contributed to the inadequacy of academic collective bargaining in achieving a fuller expression or resolution of the drive to preserve personal-professional security.

Let us, for example, examine samples of academic collective bargaining activity which would account for a relative ineffectuality in achieving optimal governance

changes:

Institution "X"

A collective bargaining movement responds to felt needs among faculty members, but does not indulge in self-evaluation or self-correction. It is carried along by its own momentum without pausing to develop an internally consistent structure. Its proponents merchandise an ephemeral product by advertising assured economic (and, on occasion, governance) gains without particular reference to reality. Academic organizers served as salespersons who have either taken the value of the product for granted, or ignored its shortcomings.

Institution "Y"

Collective bargaining is initiated as a crusade (perhaps by only a few individuals) devoted to the expression of an "either them or us" power struggle. The concept of "winning" supercedes a specificity of goals. The long and bitter power struggle ends with either a rearrangement of trivial faculty rights (sometimes with a retention of managerial ones), or a lasting hostility among colleagues because actual needs have not been met. Faculty and administrators pursue courses devoted mainly to minimizing each others' power-fields.

Institution "Z"

The faculty is threatened by economic strictures and a sense of decreased ability to cope with the "sling and arrows" visited upon them by distant powers. A collective bargaining election, uniformly supported by the faculty, brings the selection of an agent and a move to the bargaining table. A handful of faculty representatives together with attorneys generally skilled in labor law but essentially unaware of or uncaring about personal-professional needs, engage in a duel with similarly experienced attorneys representing the administration (or governing board, or state). The key issues are generally economic ones, followed in importance by devices designed to assure due process protection through faculty procedures or arbitration.

Although these examples are overdrawn, far from exhaustive and open to infinite variation, they serve to illustrate some probable conditions leading to the relative de-emphasis of governance issues in the context of collective bargaining. It could be argued that the faculty of such institutions might have achieved the same level of governance participation without collective bargaining, or that bargaining, at best, succeeded in bringing these institutions up to, *but not beyond,* the level achieved by non-bargaining institutions.

In considering future changes of faculty participation in governance, it is necessary, too, to consider the administrative milieu in which such developments must occur. Regardless of institutional control, be it private or public, by governing board or state, the initial and primary contact is between faculty members and the chief administrative officer (or surrogate). Excerpts from two letters received in the course of this study serve to emphasize extremes in the degree of receptivity to the pursuit of shared responsibility in governance related matters.

One of these, from the president of a state university which has had a collective bargaining agreement for an extended period of time, states in part:

> *"This response had been prepared by the administration without consultation with a representative of the collective bargaining agent. It is my feeling that consultation with the collective bargaining agent would be inappropriate, since the questionnaire deals with matters of governance, which are not within the purview of the collective bargaining agent. To discuss these matters with them would open up new areas of discussion well beyond the collective bargaining agreement."*

The other, from the Vice-president for Academic Affairs of an institution with more than a four-year history under a collective bargaining agreement, notes:

> *"I am convinced that particularly during this past year there has been a growing harmony in the faculty-administrative relationship. In part this is due to the commitment of both sides to work together in spirit [sic] of collegiality.*
>
> *. . . Relationships with our Faculty Senate and the agent have generally been positive ones. In this year we worked quite well together to reduce faculty, adopt a salary schedule, and resolve a host of other problems.*
>
> *The Faculty Senate is increasingly sharing power with the administration and the administration with it. Generally problems here are now examined in a collegial atmosphere. This is a great change from earlier years when confrontation and polarization were the rules of this campus.*
>
> *I am greatly encouraged by this new relationship built on the agreement with its better apportionment of responsibilities for the college and on the commitment of the persons involved to work together as a college community."*

This extreme divergence of views may well cast the mold for future developments in the area of governance sought by both non-bargaining and bargaining institutions. Wherever the more accepting administrative stance is evident, there is a greater likelihood of mutual accommodation to harsh economic realities and a mutual resolution of personal-professional problems without resort to the bargaining instrumentality. Where the institutional atmosphere is characterized by an administrative "distancing" of faculty members' concerns, the collective bargaining model is much more likely to be considered a viable option. It is in these cases particularly that the obligations of the collective bargaining agent become critical. If the promise of unionization can be no better realized than suggested by the results of the study reported here, it is evident that only collective bargaining enthusiasts will

insist that unionization offers a genuine, certain, and optimal improvement directly attributable to the bargaining process. To make this claim even potentially valid for the future, will require significantly more attention to broad aspects of governance through the development of a core program of objectives centering on governance issues as sharply as they now do on salary and working conditions.

Appendix I

1 April/1977

Academic Collective Bargaining Information Service Questionnaire on Faculty Participation in College and University Government

Name of Institution _____

Address _____
(Street) (City) (State) (Zip)

Enrollment _____ _____
(Date)

Number of full-time faculty _____

Persons submitting report:

_____ _____
(Administrative officer, Title) (Faculty officer, Title)

_____ _____
(Full mailing address) (Full mailing address)

_____ _____

_____ _____
(Area code - Telephone number) (Area code - Telephone number)

This is a joint ____, faculty ____, or administration ____ reply.

INSTRUCTIONS

Please read these instructions before turning to the questionnaire.

To answer the questionnaire you are asked to specify the level of faculty participation in terms of general categories or forms. For the purposes of this questionnaire it is important that all respondents have the same understanding of terms being used. For this reason a glossary follows. *Even if these definitions do not agree with your own usage, please observe them faithfully.*

GLOSSARY

Faculty. For purposes of this survey, the faculty is defined as the full-time instructional staff. The term faculty includes any duly authorized representative (one or more individuals, or a committee) chosen by the appropriate faculty unit. A representative is considered duly authorized only if he is (1) chosen directly by the faculty or (2) appointed by a body whose membership has been selected by the faculty or (3) appointed by the administration from a slate selected by the faculty. A distinction is made between the department and its chairperson; the various roles of the Department Chairperson or Head are detailed below.

Determination. Determination means that the faculty of an academic unit or its duly authorized representatives have final legislative or operational authority with respect to the policy or action, and any other technically required approvals or concurrences are only *pro forma.* Please consider actual practices followed.

Joint Action. Joint action means that formal agreement by both the faculty and other components of the institution is required for affirmative action or policy determination. Negative action can be accomplished by a veto by any component. The separate components need not act simultaneously but should act within a reasonable time interval. In no case should the interval be longer than an academic year.

Consultation. Consultation means that there is a formal procedure or established practice which provides a means for the faculty (as a whole or through authorized representatives) to present its judgement in the form of a recommendation, vote, or other expression sufficiently explicit to record the position or positions taken by the faculty. This explicit expression of faculty judgement must take place in time to affect the decision to be made. Initiative for the expression faculty judgement may come from the faculty, the administration, or the board.

Discussion. Discussion means there is only an informal expression of opinion from the faculty or from individual faculty members; or that there is formally expressed opinion only from administratively selected committees.

None. None means that there is no faculty participation.

Alternatively the above forms of participation may be accomplished by Joint Committees.

Joint Committees. A joint committee composed of faculty and others such as administrators, students, and trustees *may* qualify as a form of faculty participation if, and only if, the following conditions are met:

1. The committee's actions are by formal vote; and
2. The faculty members are chosen as authorized faculty representatives by their appropriate units; and
3. The faculty representatives form a significant number of the total; more specifically, the following percentages must be met:
   a. To qualify for *determination* the faculty must comprise at least 75% of the voting members, and the chairperson must be elected; or
   b. To qualify for *joint action* the faculty must comprise at least 50% of the voting members, and the chairperson must be elected; or
   c. To qualify for *consultation* the faculty must comprise at least 40% of the voting members if there are two groups such as administrators and faculty; if there are three or more groups, none shall have a plurality greater than the faculty's but in no case shall the faculty comprise less than 35%.
   d. Other forms of joint committee action should be labeled *none.*

The Role of the Department Chairperson or Head. The department chairperson or head is not to be considered the faculty authorized representative of the department, even though elected as chairperson, unless acting as a spokesperson at higher levels of administration for decisions or recommendations made by faculty authorized representatives, or a full faculty vote in the unit. The chairperson may be instructed to appoint a committee or other authorized representatives by the faculty or their authorized representatives and such appointees are authorized representatives. The chairperson may be elected a faculty authorized representative along with others. If the chairperson is elected as the sole representative in the areas covered by the questions on Faculty status, Faculty salary scales, and Individual faculty salaries, this shall not count, for the purposes of this survey, unless the department has five (5) or fewer members.

Order of Forms of Participation. Although the order of the forms of participation listed here and on the questionnaire is in descending degree of faculty participation, it is *not* meant to imply that "determination" is considered more desirable than "joint action" or "consultation" for all of the questions listed.

In determining your answers the following variables are to be accounted for:

1. Precise item to be covered. (See Specifications, p.)
2. Time interval to be covered. (See Specifications, p.)
3. All specific instances in that time interval.
4. All levels involved before the decision is final. Some possible levels are departmental, divisional, school, college, all-university, or board of trustees.
5. The number of faculty people involved at each level of decision.
6. Form of faculty participation.

In ascertaining the form of faculty participation in a given academic unit (college, school, department) in a given decision-making process, find that instance in which the level of participation was *least.* The form of this instance is the form of participation for that academic unit in the decision-making process. *In particular, all specific instances in the time period to be covered for the specific question, through all decision levels without a single exception, must be at least at the minimum participation level indicated for that academic unit.* In cases where the specific item is lacking, *e.g.,* there is no long-range budgetary planning, or where the item is mandated say by the state legislature, *e.g.* admission requirements for some state schools, then the form of faculty participation is *none.*

The complexity of the college or university organization must be taken into account. For example, if promotions are considered at only one level by a *faculty* promotions committee,then:

1. If all of those and only those faculty recommended by the committee for promotion are promoted, then the form of faculty participation is *determination.*
2. If the committee recommendations for promotion are only affirmed or denied but not added to by the administration, then the form is *joint action.*
3. If the administration makes some promotions contrary to faculty recommendation but only from those individuals considered by the committee, then the form is *consultation.*
4. If an individual is promoted who is not considered by the committee, then the form for the *whole* college is *discussion* or *none.* It is *discussion* only if, for every such individual, informal opinion from faculty or formal advice from an administratively selected commitee has been sought; without such participation, the form would be *none.*

With a single faculty committee making recommendations for promotions, the rating would be for the whole college. If on the other hand the above college committee acted after departmental *faculty* promotions committees had made their recommendations directly to it, then the individual departmental ratings may be different and the whole college might not be reported as a unit. The college committee's recommendations may not agree with the individual department's; nevertheless, recommendations for promotions have been entirely determined by faculty up to this level. Now, if say a promotion recommended by the college committee is vetoed but all the rest promoted, then all departments except that individual's should be rated *determination,* while his department should be rated *joint action.* The other forms of participation are covered analogously as are the cases where several departments are treated in different ways, or where several levels of decision-making are involved.

In filling out the questionnaire please give the percentage of the total faculty which belongs to academic units of the institution in which the participation of faculty in the listed decision takes the form indicated.

Note that the sum of the figures on each horizontal line of the questionnaire should be 100 (for Questions 1-31).

For example, if, in the selection of department chairpersons, 25% of the faculty are in departments which have chairpersons appointed unilaterally by the administration, 60% in departments where they are appointed by the administration after consultation with the faculty, and 15% in departments where they are elected by the department members, then the responses to Question 16 would appear as follows:

	Determination	Joint Action	Consultation	Discussion	None
16. Selection of Department Chairpersons or Heads	15	0	60	0	25

The Full Franchise. It should be emphasized that in all elections of representatives or for a faculty vote on a particular issue the newest instructor or assistant professor must have his say and vote. This may run contrary to well-established traditions in several places where departmental matters are determined only by full professors or tenured professors. This may be judged good practice, but it is not full faculty participation. If in some units decisions on *faculty status* (appointments, reappointments, decisions not to reappoint, promotions, the granting of tenure, and dismissal) are being made by senior faculty, then this procedure qualifies as *determination* (at that level for that unit) so long as such a procedure is subject to revision by the full faculty of that unit. Our inquiries are about the full franchise for all the faculty.

Specification of Question Items and Variables

Faculty Status (All instances in the past 3 years or since a major change in practice after 1970.)

1. Appointments.
2. Reappointments or nonrenewals.
3. Promotions.
4. Tenure. If it is awarded after a stated number of years or promotions to a specific rank these should normally agree with #2 or #3 above.
5. Dismissal for cause. If there have been no cases but there are by-laws covering this, then judge by them. If there are no by-laws, then the level of faculty participation should be recorded as *none.* If there is different treatment for tenured and non-tenured faculty, the lowest rating should be reported.

Academic Operation

6. Curriculum. All present course offerings together with the practice for revision during the past 3 years or since a major change in practice after 1970.
7. Degree requirements. Present requirements together with the practice for revision during the past 3 years or since a major change in practice after 1970. This includes college and university graduation requirements and departmental major requirements where applicable. Minimal state requirements, such as 120 semester hours for a bachelor's degree, in keeping with usual professional standards and unchallenged by the institution, should not bar any level of participation.
8. Academic performance of students. (Current practice.) This means the individual grading of students in course work.

Academic Planning and Policy

9. Types of degrees offered. All present degrees offered and the operation of rules or procedures for adding or deleting in all instances for the past 3 years or since a major change in practice after 1970.
10. Establishment of new or special educational programs. All instances or provisions for faculty action in the past 3 years or since a major change in practice after 1970.
11. Admission requirements. Refers only to undergraduate admissions if they differ from graduate admissions. What participation has the faculty had in the admission standards actually used in the past 3 years?
12. Relative staff sizes of various disciplines. This refers to an established and implemented policy for determining such sizes at the institution-wide level. If there is no such policy the faculty participation is *none.* All instances in the past 3 years or since a major change in practice after 1970.
13. Programs for building and other facilities. This should cover all authorizations for new academic buildings or facilities (not dormitories) but not the detailed planning after authorization since 1970.

Selection of Administrators and Department Chairpersons

14. President. How was the present President chosen?
15. Academic Dean. How was the present Dean chosen?
16. Department Chairpersons or Heads. How were the present Chairpersons or Heads chosen?

Financial Planning and Policy

17. Faculty salary scales. Should cover the last 7 years or the most recent change since 1970. This question does not mean formal scales as in government civil service. It is sufficient if the faculty participated in an institution's decision to move from say B to A on the Committee Z salary scale. Collective bargaining would normally be *joint action.*
18. Individual faculty salaries. All instances in the past 7 years or since a major change in practice after 1970. Refer to the paragraph on *The Role of the Department Chairperson or Head.* The same applies to Deans or higher administrators in the absence of chairpersons, or if recommendations originate at higher levels.
19. Short-range budgetary planning (1-3 years). Practice in the last 3 years. This means up to and including the all-institution level. Otherwise the participation level is *none.*
20. Long-range budgetary planning. Same specifications as for short-range budgetary planning.

Professional Duties (practice in the last 7 years or since a major change in practice after 1970.)

21. Average teaching loads. Refers to class teaching hours per week, not student-teacher ratio per class.
22. Teaching assignments. Does not require a committee, any reasonable agreement between chairperson and individuals should qualify for *joint action.*

Organization of Faculty Agencies

23. Specification of the organization, duties, and authority of departmental committees and other similar agencies. Practice in the last 7 years or since a major

change in practice after 1970. This refers to committees the faculty has specified or tried to participate in specifying. It does not include other committees that may exist, say administratively specified, unless the faculty has tried to specify them or participate in specifying them.

24. Membership of departmental committees and similar agencies. Practice in the last 7 years or since a major change in practice after 1970. This refers only to committees the faculty has specified or participated in specifying.
25. Authority of faculty in government. The form of faculty participation, as provided for in by-laws, in determining the authority of the faculty or of a representative senate or council, if such exists, at the all-institution level. If no by-laws exist, then the participation should be recorded as *none.*
26. Specification of the organization, duties and authority of institution-wide committees, senate, and similar agencies. Count the number of committees which deal with faculty status, academic operation, academic planning and policy, selection of administrators, financial planning and policy, and student affairs. Determine what percentages of the total number of committees were established by each form of faculty participation. If a committee does not exist to deal with one of these categories (or if it is not dealt with by the faculty as a whole) then the form of faculty participation should be counted as though there were a committee for that category but with the form of faculty participation as *none.***
27. Membership selection on institution-wide committees, senate, and similar agencies. Count the number of committees established to deal with faculty status, academic operation, academic planning and policy, selection of administrators, financial planning and policy, and student affairs. Determine what percentage of the committees that exist have their membership selected by each form of faculty participation.**

Student Affairs (Practice in the past 3 years)

28. Academic discipline. Practice in past 3 years or from the last major change, whichever is later. Refers only to academic matters such as cheating, plagiarism, low grades, etc., and probation, suspension and other penalties resulting therefrom.
29. Specification of student extra-curricular rules. Practice in past 3 years or from the last major change, whichever is later. Refers only to student living, social, and behavioral rules, etc.
30. Extra-curricular behavior. Practice in past 3 years or from the last major change, whichever is later. Refers only to findings and penalties for such items as breaking student social rules, rioting, sit-ins, etc.
31. Student role in institutional government. Practice in the past 3 years or from the last major change, whichever is later. Answer this question only if students participate or a decision has been made against their participation in institutional governance. Otherwise cross out the question, do not leave it blank. In case of student participation, the answer should indicate the form of faculty participation in specifying the students' role, such as membership in the senate, or on joint committees, etc.

Faculty-Board Communication

32. Is there a regular procedure, other than through the president, for the exchange of opinion between the faculty and the board of trustees?
33. Is a faculty handbook or university manual published and given to each faculty member? May also qualify if the various items are in several documents all given to the faculty member (not just on file). Practice in past 3 years or since last major change after 1970.
34. Adoption of handbook items. Regardless of whether a handbook exists and is distributed, have the items listed been officially adopted by both the faculty and the board in order that they have full official status?

Any exception to the above should be noted with an explanation for a uniform adjudication by the ACBIS survey committee.

**Note that the response here is a percentage of the *total number of committees* (rather than of the total number of faculty members).

Decisions Relative To	Forms of Faculty Participation				
	Determination	Joint Action	Consultation	Discussion	None
Faculty Status					
____ 1. Appointments					
____ 2. Reappointments or nonrenewals					
____ 3. Promotions					
____ 4. Tenure					
____ 5. Dismissal for cause					
Academic Operation					
____ 6. Curriculum					
____ 7. Degree requirements					
____ 8. Academic performance of students					
Academic Planning and Policy					
____ 9. Types of degrees offered					
____10. Establishment of new or special educational programs					
____11. Admission requirements					
____12. Relative staff sizes of various disciplines					
____13. Programs for building and other facilities					
Selection of Administrators and Department Chairpersons					
____14. President					
____15. Academic Dean					
____16. Department Chairpersons or Heads					
Financial Planning and Policy					
____17. Faculty salary scales					
____18. Individual faculty salaries					
____19. Short-range budgetary planning (1-3 years)					
____20. Long-range budgetary planning					
Professional Duties					
____21. Average teaching loads					
____22. Teaching assignments					

Decisions Relative To	Forms of Faculty Participation				
	Determination	Joint Action	Consultation	Discussion	None
Organization of Faculty Agencies					
____23. Specification of the organization, duties, and authority of departmental committees and other similar agencies	_____	_____	_____	_____	_____
____24. Membership of departmental committees and similar agencies	_____	_____	_____	_____	_____
____25. Authority of faculty in government	_____	_____	_____	_____	_____
____26. Specification of the organization, duties and authority of institution-wide committees, senate and similar agencies	_____	_____	_____	_____	_____
____27. Membership selection on institution-wide committees, senate, and similar agencies	_____	_____	_____	_____	_____
Student Affairs					
____28. Academic discipline	_____	_____	_____	_____	_____
____29. Specification of student extra-curricular rules	_____	_____	_____	_____	_____
____30. Extra-curricular behavior	_____	_____	_____	_____	_____
____31. Student role in institutional government	_____	_____	_____	_____	_____

Faculty-Board Communication

____32. Is there a regular procedure, other than through the president, for the exchange of opinion between the faculty and the board of trustees? Yes ____ No ____

If *yes*, specify _____

_____

_____

33. Is a faculty handbook or university manual published and given to each faculty member?
Yes ____ No ____
If *yes,* does it contain the following items:

34. Adoption of handbook items. (Answer regardless of publication – see instructions.)

		Adopted by the Board	Adopted by the Faculty
a. Statement on Academic Freedom	Yes ____ No ____	Yes ____ No ____	Yes ____ No ____
b. Tenure Provisions	Yes ____ No ____	Yes ____ No ____	Yes ____ No ____
c. Procedural Statement on dismissal of faculty members for cause	Yes ____ No ____	Yes ____ No ____	Yes ____ No ____
d. Requirements and procedural steps for promotions	Yes ____ No ____	Yes ____ No ____	Yes ____ No ____
e. Definition of Faculty membership and voting rights on faculty bodies	Yes ____ No ____	Yes ____ No ____	Yes ____ No ____
f. Standing Committees and methods of choosing members	Yes ____ No ____	Yes ____ No ____	Yes ____ No ____
g. Provision for faculty grievance hearing committee	Yes ____ No ____	Yes ____ No ____	Yes ____ No ____
h. Faculty evaluation procedures	Yes ____ No ____	Yes ____ No ____	Yes ____ No ____

Comments

35. Do the definitions of the terms used here – determination, joint action, etc., differ (substantially) from the ordinary usage on your campus (at this time)? (Yes) or (No) _____

36. Having completed the questionnaire, are you reasonably sure the Glossary definitions of the descriptors have been followed? (Yes) or (No) _____

37. Were these replies compiled by a committee? Yes ____ No ____ If yes,

38. How many persons were on the committee? _____

39. Comments: Please use reverse side.

For Institutions Which Have Held A Collective Bargaining Election (Regardless of Outcome)*

Please re-examine the responses supplied on pages 39-41 (items 1 thru 34 h.), in order to judge (for each item in turn):

a) whether the provisions of a signed collective bargaining *agreement* largely determined the reported responses.

b) whether the collective bargaining *election* was prompted (in part or whole) by the issues involved in that item.

In the following examples:

	Determination	Joint Action	Consultation	Discussion	None
✓ 16. Selection of Department Chairperson or Head		100			

Place a check (✓) to the left of the item number if this response is due mainly to *provisions of the contract representing a shift from prior practice.*

✓ ✓ 16. Selection of Department Chairperson or Head				25	75

Place a double check (✓ ✓) to the left of the item number if the response pattern for this item was one of the factors which *prompted a collective bargaining election.*

Place a triple check (✓ ✓ ✓) to the left of the item number if *both* conditions were met, i.e. the issue was one of those which prompted an election, *and* the collective bargaining contract contains a provision for a change in practice.

40. Date of most recent collective bargaining election _____

40a. Date(s) of any prior election(s) _____ _____

41. Date of most recently signed collective bargaining contract _____

41a. Date(s) of any prior signed contract(s) _____ _____

_____ _____

*If your first collective bargaining agreement is being negotiated now, respond only to the *b.* (✓ ✓) items and omit p. . Use last contract provisions, if a new contract is in negotiation now and continue on to p. 43.

For Institutions With A Collective Bargaining Contract

42. With whom has the collective bargaining agent *mainly* negotiated regarding the following:

	Local Administration	Governing Board	State Agency (Please Specify) _____ _____
a) The final provisions of the (last) contract	_____	_____	_____
b) Salary Package	_____	_____	_____
c) Working conditions: (Please Specify)	_____	_____	_____
1) _____	_____	_____	_____
2) _____	_____	_____	_____
3) _____	_____	_____	_____
4) _____	_____	_____	_____
5) _____	_____	_____	_____

Indicate by a star (★) next to each check made, if this practice represents a significant shift from pre-contract processes.

43. In *separate and confidential* replies by administrative and faculty representative respondents, would you comment freely on your perception of changes which have occurred *subsequently* to a contract agreement, with particular reference to the following topics:

1. A sense of increasing conflict vs. a growing harmony between faculty and administration.
2. A sense of increased vs. decreased formalization in these relationships.
3. A sense of your own increased vs. decreased vulnerability or power (in your respective roles).
4. A sense of increased or decreased Academic Senate (or equivalent) power or influence.
5. A sense of altered "collegial" relationships.

Please use a separate sheet for your reply enclosing it in a sealed envelope identified by the letter "A" or "F" respectively and attach it to this page.

Appendix II

Distribution of Responding Institutions (1977)
By Institutional Type, Control Type, Geographic Region, and Faculty Size

1. Institutional Type

	No Agent Group	Coll. Barg. Group	Control Group	Total N
University	8	7	28	43
Liberal Arts & Emerging Universities	4	26	79	109
Technical	1	1	2	4
Other	0	0	2	2
Liberal Arts (Bachelor)	5	4	24	33
Total	18	38*	135	191

2. Control Type

	No Agent Group	Coll. Barg. Group	Control Group	Total N
Public	6	29	89	124
Private Independent	6	5	21	32
Protestant or Jewish	3	1	15	19
Catholic	3	3	10	16
Total	18	38*	135	191

*N = 39 in final summary of returns

Distribution of Responding Institutions (1977)
By Institutional Type, Control Type, Geographic Region, and Faculty Size

3. Geographic Region

	No Agent Group	Coll. Barg. Group	Control Group	Total N
Northeast	3	6	5	14
Middle Atlantic	4	22	16	42
East North Central	2	4	22	28
West North Central	2	1	22	25
East South Central	1	0	9	10
West South Central	0	0	10	10
South Atlantic	3	2	29	34
Mountain	1	2	9	12
Pacific	2	1	13	16
Total	18	38*	135	191

*N = 39 in final summary of returns

Distribution of Responding Institutions (1977)
By Institutional Type, Control Type, Geographic Region, and Faculty Size

4. Faculty Size

	No Agent Group	Coll. Barg. Group	Control Group	Total N
0 – 100	4	6	23	33
101 – 200	4	7	33	44
201 – 400	3	15	43	61
401 – 600	3	4	17	24
601 – 800	1	0	7	8
801 – 1100	2	5	10	17
1101 – 3000	1	1	2	4
Total	18	38*	135	191

*N = 39 in final summary of returns

Appendix III

This appendix is provided to show, in simplified form, the percentage changes (1970-1977) in *pooled* Joint Action and Determination responses for each item, and for each study group. Items are reported serially within the Personnel, Academic and Administrative categories, respectively.

Personnel	**Control Group**			**No Agent Group**			**Coll. Barg. Group**		
Item Number and Content	1970	1977	Diff.	1970	1977	Diff.	1970	1977	Diff.
1. Appointments	32	49	+17	40	46	+6	36	53	+17
2. Nonrenewals	25	36	+11	21	43	+22	37	35	−2
3. Promotions	29	37	+8	23	61	+38	47	45	−2
4. Tenure	30	39	+9	16	59	+43	51	45	−6
5. Dismissals	34	37	+3	41	47	+6	35	35	0
17. Faculty Salaries	4	7	+3	0	6	+6	9	54	+45
18. Individual Salaries	6	9	+3	1	17	+16	8	31	+23

Academic	Control Group			No Agent Group			Coll. Barg. Group		
Item Number and Content	1970	1977	Diff.	1970	1977	Diff.	1970	1977	Diff.
6. Curriculum	85	82	−3	64	84	+20	79	75	−4
7. Degree Requirements	83	79	−4	63	83	+20	73	73	0
8. Academic Performance	97	91	−6	99	99	0	97	89	−8
9. Types of Degrees	72	67	−5	66	72	+6	67	47	−20
10. New Educational Programs	69	68	−1	60	76	+16	60	59	−1
11. Admissions	39	44	+5	34	41	+7	29	38	+9
22. Teaching Assignments	59	58	−1	71	67	−4	47	65	+18
23. Specification-Dept. Committees	61	73	+12	70	79	+9	75	83	+8
24. Membership Dept. Committees	62	73	+11	63	94	+31	74	84	+10
26. Specification-Senate Committees	58	64	+6	62	63	+1	58	58	0
27. Membership Senate Committees	59	70	+11	56	76	+20	68	71	+3
28. Academic Discipline	62	61	−1	78	62	−16	63	57	−6

Administrative	Control Group			No Agent Group			Coll. Barg. Group		
Item Number and Content	1970	1977	Diff.	1970	1977	Diff.	1970	1977	Diff.
12. Relative Staff Sizes	6	10	+4	2	17	+15	4	9	+5
13. Programs for Buildings	5	7	+2	2	11	+9	4	4	0
14. President	7	11	+4	9	18	+9	17	8	−9
15. Academic Deans	12	25	+13	11	33	+22	16	18	+2
16. Department Chairperson	22	41	+19	20	57	+37	31	73	+42
19. Short-Range Budget	5	6	+1	0	0	0	1	9	+8
20. Long-Range Budget	3	5	+2	0	0	0	0	4	+4
21. Teaching Loads	18	22	+4	7	24	+17	21	52	+31
25. Authority of Faculty	53	53	0	54	43	−11	56	48	−8
29. Specification-Student Extra-Curricular Rules	28	24	−4	13	18	+5	30	17	−13
30. Extra-Curricular Behavior	29	19	−10	26	14	−12	39	25	−14
31. Student Role in Governance	51	47	−4	48	51	+3	50	36	−14

Bibliography

1. Academic Collective Bargaining Information Service. *Institutions and Campuses with Faculty Collective Bargaining Agents,* (Special Report #12 Update,) Washington, D. C., February, 1977.
2. "American Association of University Professors: Report of the Survey Subcommittee of Committee T," AAUP *Bulletin,* Spring, 1971.
3. Atwood, L. Erwin and Crain, Susan. "Changes in Faculty Attitudes Toward University Role and Governance," *Journal of Experimental Education,* Vol. 41, No. 4, Summer, 1973.
4. Baldridge, J. Victor; Curtis, David, V.; Ecker, George P.; and Riley, Gary L. Research and Development Memorandum No. 100, "Preliminary Findings of The Stanford Project on Academic Governance," form the Stanford Center for Research and Development in Teaching, January, 1973.
5. Baldridge, J. Victor and Kemerer, Frank R. "Academic Senates and Faculty Collective Bargaining," *Journal of Higher Education,* Vol. XLVII, No. 4, July/August, 1976.
6. Begin, James P. "The Impact of the Faculty Grievance Process at Rutgers University: The First Five Years," Institute of Management and Labor Relations, Rutgers University, a working paper released for limited circulation, September, 1976.
7. Begin, James P.; Settle, Theodore C.; Alexander, Paula B. "The Emergence of Faculty Bargaining: New Jersey in Context," a working paper released for limited circulation, January, 1977.
8. Birnbaum, Robert. "Unionization and Faculty Compensation, Part I," *Educational Record,* Vol. 55, No. 1, Winter, 1974.
9. Birnbaum, Robert. "Unionization and Faculty Compensation, Part II," *Educational Record,* Vol. 57, No. 2, Spring, 1976.
10. Boyd, William B. "The Impact of Collective Bargaining on University Governance," *Liberal Education,* Vol. LVIII, No. 2, May, 1972.
11. Brown, William and Stone, Courtenay C. "Faculty Compensation Under Unionization, An Analysis of Current Research Methods and Findings," Working Paper #77501, School of Business Administration and Economics, California State University, Northridge, California, November, 1976.
12. Brown, William and Stone, Courtenay C. "Academic Unions in Higher Education: Impacts on Faculty Salary, Compensation and Promotions," *Economic Inquiry,* Vol. XV, July, 1977.
13. *Directory of Bargaining Agents and Contracts in Higher Education,* The National Center for the Study of Collective Bargaining in Higher Education, Baruch College – City University of New York, April 1, 1977.
14. Dubeck, Leroy W. *Collective Bargaining: A View from the Faculty,* Academic Collective Bargaining Information Service Orientation Paper #7, Washington, D. C., October, 1975.
15. Duryea, Edwin D. and Fisk, Robert S. *Collective Bargaining, the State University and the State Government in New York,* Department of Higher Education, Faculty of Educational Studies, State University of New York at Buffalo, December, 1975.
16. Garbarino, Joseph W. and Aussieker, Bill. *Faculty Bargaining: Change & Conflict,* McGraw-Hill Company, 1971.

17. Gershenfeld, Walter J., and Mortimer, Kenneth P. with assistance of J. D. Johnson. *Faculty Collective Bargaining Activity in Pennsylvania: The First Five Years (1970-1975),* Center for Labor and Manpower Studies, Temple University, Pennsylvania State University, April, 1976.

18. Kemerer, Frank R. and Baldridge, J. Victor. *Unions on Campus.* Jossey-Bass Inc., San Francisco, 1975.

19. Ladd, (Jr.), Everett Carll and Lipset, Seymour Martin. *The Divided Academy: Professors and Politics,* McGraw-Hill Company, 1975.

20. Leslie, David W. "The Impact of Collective Bargaining on the Management of Faculty Institution Conflict in Colleges and Universities, Final Report to the National Institute of Education." Center for Higher Education, University of Virginia, 1974.

21. Morgan, David, K., and Kearney, Richard C. "Collective Bargaining and Faculty Compensation: A Comparative Analysis," *Sociology of Education,* Vol. 50, No. 1, January, 1977.

22. Trow, Martin (editor). *Teachers & Students: Aspects of Higher Education,* McGraw-Hill Company, 1975.

23. White, Richard L. "A Summary of the Research on the Impact of Collective Bargaining on the Governance of Higher Education," a paper prepared for Committee T of the American Association of University Professors, March, 1976.